

Schoharie County

Policies and Procedures Manual

Schoharie County Policies and Procedures Manual

RECORD of CHANGES

This manual was last reviewed and updated in 2015. All of the updates were approved by the full Board of Supervisors on 09/20/15 per RES # 79

RES #128 - addendum - FMLA - 12/17/2015 - Appendix L - (added)

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County Government operates every day of the month. Increasingly, due to the complexity of our society, issues arise that are not covered by laws or union contracts. The governing body of the County normally convenes only one day per month. As such, a resource is required to provide County Officers and Employees with answers on a daily basis. Hence, this manual has been produced.

Another issue frequently encountered concerns the turnover of County Personnel. Every time a County Employee leaves his/her employment, we lose knowledge, experience and expertise. On many occasions, there is a prior board resolution in existence that can resolve a given issue, but the Officer and/or Employees involved commenced their employment with the County after the board resolution had been passed. This manual will serve as a central repository of information for all County Officers and Employees. As such, it should be extremely helpful.

I hope County Officers, County Employees and Members of the Public find the information contained in this manual both useful and informative.

Richard Lape, Chairperson
Schoharie County Board of Supervisors
Manual Last Updated 07/24/2015

Disclaimer and Exculpatory Clause

This manual contains guidelines of rules, laws and conduct that are to be implemented and followed by Schoharie County Officers and Employees. The governing body of Schoharie County Government reserves the right, should unforeseen circumstances arise or should a policy be shown to be ill advised, to not follow a given policy should the public interest so require. As such, the policies outlined in this manual are not intended, nor shall they be interpreted as creating a binding contract that in any way mandates the County Government to take any action. In addition, this manual shall not be interpreted as bestowing any additional rights to employment or employment benefits upon County Employees.

Should any part of this manual be found to be in conflict with any Federal, State or Local Law, or with any Public Employee Union Contract, then that portion will be void. However, the remainder of the manual will still be in effect. The policies contained in this manual supersede any prior inconsistent resolution or motion of the Board of Supervisors. No County Department may possess internally a separate policy that is contrary to the manual unless authorized to do so by the Board of Supervisors or mandated to do so under Federal, State or Local Law.

Chapter One

County Automobiles

1.1 – Parking at County Office Building During Normal Business Hours

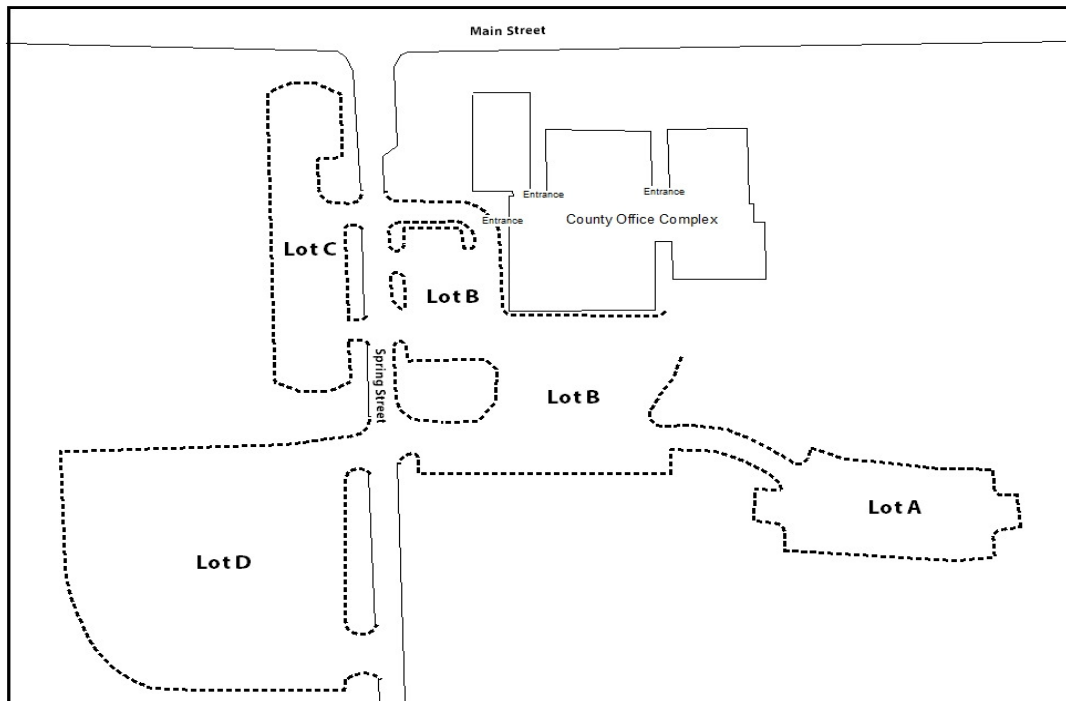
There are presently four (4) Parking Areas around the County Office Building.

[A Lot] Is to be used only for “Official” County Owned Vehicles and is located behind the County Office Building and the Courthouse.

[B Lot] Is the Parking Area directly along the left side and directly on the back of the County Office Building. This area is for **Handicapped and Public Parking Only**. The single row of spaces facing the Community Pool are only available September – June because during the months of July and August they are reserved for Pool Use Only.

[C Lot] Is the Parking Area that borders Main Street and Lasell Hall (aka: The DAR House) and is open for Employees and the Public, with the exceptions of the designated spaces that are marked RESERVED.

[D Lot] Is the Parking Area across from the Community Pool, which is also open to Employees and the Public.



[E] - Enforcement - If an employee is found parking in a spot not intended for employee parking he/she will receive a written notice from their Department Head.

1.2 – Personal Use of County-Owned Vehicles Provided to Employees

The Schoharie County Board of Supervisors does hereby establish the following policy for personal use of County-Owned Vehicles provided to Employees:

All Schoharie County vehicles shall be clearly marked with the County Seal, unless specifically exempted by the Board of Supervisors. This policy applies to all vehicles owned by Schoharie County and its Departments and provided to its Employees to effectively execute their jobs, except for the following:

- A. Clearly marked police, fire, emergency vehicles and ambulances/rescue vehicles;
- B. Unmarked vehicles used by Law Enforcement Officers;

This policy applies to all County Employees except Elected Officials.

Personal use is allowed only under the following circumstances:

- A. Vehicles provided to Employees are regularly used only in connection with County business;
- B. When approved in advance by the Department Head personal use is limited to:
 - 1. Commuting to and from work, and
 - 2. One stop for a personal errand in route on the way to and from home.
- C. Employees must complete a voucher to account in writing for the number of days per two-week payroll period the vehicle was used in this manner (taken home).
 - 1. One copy of the voucher, signed by the Department Head will be sent to the Treasurer's Office and one to the County Auditor,
 - 2. The amount of the fringe benefit will be determined from this accounting and will be computed using the current Internal Revenue Service Commuting Valuation Rate; and
 - 3. This fringe benefit will be included in gross wages and the applicable taxes will be withheld.

Except as noted below, all County-Owned Vehicles will be parked on County premises at the end of each workday. The **ONLY** exceptions are as follows: Commissioner of Public Works, Director of Emergency Services, Fire Coordinator, Deputy Fire Coordinator, Sheriff, Undersheriff, Chief Deputy Sheriff, Jail Administrator, Road Patrol Deputy Sheriffs, Social Service Fraud Investigators, Caseworkers, Public Health Nurses, EMS Coordinator and any employees when on call not listed above.

No County Employee, Department Head, Officer and/or Official shall be granted the use, beyond normal working hours, of a County-Owned Vehicle as a condition of employment without the written permission of the Personnel Committee.

1.3 – Use of Personal Cars by County Employees

Frequently County Employees may need to attend business meetings away from their normal work office. If the County does not have a vehicle available, the employee may use his/her own vehicle and bill the County for the mileage at the official IRS mileage rate for that year. Prior to the use of your own vehicle for County business, you need prior Department Head approval.

1.4 – Driver Information

Any County Government Agency that contracts with another agency, such that the contracted agency shall have access and operate a county owned/leased vehicle, in the general course of business shall require that such contracted agency enroll their affected employees in the New York State Department of Motor Vehicles License Event Notification System "LENS" as a condition of the contract. Such requirement shall be incorporated upon the granting of a new contract, or a renewal of an existing contract on or after the effective date of this resolution.

1.5 – Accidents with County Vehicles

All accidents must be immediately reported to the Sheriff, their Department Head, the Public Works Fleet Coordinator, and the County Safety Officer. An accident report must then be filed with the County Safety Officer and copied to the Public Works Fleet Coordinator and to their Department Head. If no accident report is available the County Safety Officer will complete one. The Department Head should then forward the accident information onto their Oversight Committee Chairman and copy the Clerk of the Board. ALL INSURANCE CLAIMS WILL BE HANDLED BY THE FLEET COORDINATOR.

1.6 - All repairs to County vehicles will be performed by Department of Public Works, with the exception of Public Transportation. Any outside repairs need to be authorized by the Fleet Coordinator before they are performed, with the exception of Public Transportation.

1.7 - All vehicle purchasing/ordering will be done through Department of Public Works/Public Transportation, with the exception of Public Transportation.

1.8 - All violations, tickets, fines, for example - EZ pass, speeding, and parking will be the responsibility of the operator., unless otherwise decided by Department Head or Oversight Committee.

CHAPTER II

Emergency & Safety

2.1 – County Safety Officer

Schoharie County Board of Supervisors is committed to providing a safe and secure environment for our employees and customers. The County Safety Officer is a vital part of County Government and should not be taken lightly. At no time should the County be without a Safety Officer or should the Safety Officer position be assigned as an additional duty.

The Safety Officer will be responsible to conduct safety training for all county, town, and village employees annually. It is the Department Heads responsibility to make sure all their employees attend the training annually.

2.2 – Emergency Procedures for Evacuation of County Property

The County Safety Office shall formulate a plan concerning *Emergency Evacuation Procedures for each County Building. Each County Employee, to the extent requested, shall cooperate in formulating and implementing said plan. (*Refer to Appendix A)

2.3 - Closing of County Offices

In an emergency, the Chairman of the Board of Supervisors has the exclusive authority to order that all or a portion of County Property or Government be closed.

2.3A - Emergency Closure of Building

In the event of a general emergency, such as a flood, blizzard, power outage, etc., in which County Buildings are ordered closed by the Chairman of the Board of Supervisors:

1. Employees performing essential services as part of their job duties, such as those in the Emergency Operations Center, Public Works Department, Sheriff's Office, etc. are expected to report to work on time.

2. No other employees are to report to work unless called.

Only employees reporting in (1) and (2) above will be paid. All others must charge the absence either to personal leave, vacation leave, compensatory time or be docked for the time.

In event of an emergency in which the Chairman of the Board of Supervisors does not order County Buildings closed, all employees are expected to report to work as usual.

2.4 – Illness or Injury on County Property of a Member of the Public

Whenever any member of the public shall become ill or injured on County Property and require immediate medical assistance, any County Employee who comes upon such ill or injured person, shall call 911, then call the County Safety Officer to respond to the scene. The injured or ill person should be made as comfortable as possible, but should not be moved unless in immediate danger (i.e. fire, collapse etc.).

All County Employees are authorized to provide such emergency care and first aid as they have been trained to perform until the ambulance service arrives and assumes care.

A report of the incident must be made immediately with the County Safety Officer: Please note that this policy shall not apply where such action will violate HIPPA or other State or Federal laws.

2.5 - Illness or Injury of County Employees While On Duty

In any event, all illness and injuries must be reported to the responsible person in charge of filing the claims for that department and the Department Head. This needs to occur even if medical attention is not required. The accident report then needs to be immediately faxed to the insurance carrier and then forwarded to the Safety and Personnel Office.

2.6 - Safety Committee Participation

Per the Board of Supervisors, each County Department Head, Officer and/or Official shall promote a safe and responsible environment for employees and the public. In doing so, each Department shall be represented on the Safety Committee.

2.7 - Safety Policies & Procedures

The Board of Supervisors not only feels that it is the responsibility of the Safety Officer, but of all County Department Heads, Officers and Officials to ensure a ***Safe Working Environment*** for their Employees and the Public they serve. All County Department Heads, Officers and Officials must work together to implement the Safety Policies & Practices along with the Evacuation Policies & Procedures that are adopted by the Board of Supervisors.

Any safety concerns that County Department Heads, Officers and/or Officials have are to be in writing to their Oversight Committee Chairperson and to the County Safety Officer.

2.8 – Employee Badge Policy

The purpose of the badges are to help alleviate a possible safety concern for Employees and to help the Public recognize Employees while in the building.

All County Employees, excluding uniformed employees only, shall wear Schoharie County Badges. Within (30) thirty days of employment, Badges are to be issued to all County Employees. All Badges are obtained at the Emergency Management Office.

It will be the responsibility of each County Department Head, Officer and/or Official to make sure that this is enforced.

Badges are to be collected upon the employee leaving County employment. This should happen at the time of their exit interview with the Personnel Officer. If they leave without being able to receive an Exit Interview, then the Badge is to be collected by the immediate Supervisor and/or Department Head and then forwarded to the Personnel Office.

When a situation exists, where it is impractical or unsafe for Badges to be worn, the County Department Head, Officer and/or Official should report such circumstances to the County Safety Officer. Approval and/or disapproval in each of these situations will be by the Chairman of the Board of Supervisors.

2.9 - Workplace Violence & Safety Policy & Procedures

COUNTY SUPERVISORS STATEMENT:

Schoharie County is committed to providing a safe and secure environment for our employees and customers. All employees of Schoharie County are expected to maintain a working environment free from violence, threats of violence, harassment, intimidation or coercion. While these behaviors are not prevalent within Schoharie County government, no government is immune. The following *Workplace Violence & Safety Policies set by the Board of Supervisors were put in place to explain the expectations for all County Employees including Department Heads, Officers and Officials. It explains everyone's role in making Safety and Security a reality within our Workplace. The over-riding theme is that Safety and Security is everyone's responsibility.

CHAPTER III

Purchasing and Contracts

3.1 – Purchasing and Procurement

With the exception of those purchases made in an emergency, only the person designated by the Board of Supervisors as Purchasing Agent, may commit the county to a purchase.

Departments are encouraged to purchase merchandise from the New York State Contract, whenever that is the lowest process. State contracts are available for inspection on-line at www.nys.gov.

Every purchase made must be initially reviewed to determine whether it is a Purchase Contract or a Public Works Contract. Once that determination is made, a good faith effort will be made to determine whether the aggregate amount to be spent on the item of supply or service is not subject to competitive bidding.

Surplus and second-hand purchases from another governmental entity; and such purchases and procurements pursuant to "piggybacking" described in Section 3.6

Definition of Public Works Contract: A contract of the state, county, city and other political subdivisions of the state for the construction, alteration, repair, or maintenance of any building, structure, highway, bridge, viaduct, pipeline, public works, or any other works dealing with construction, which shall include, but need not be limited to, moving demolition, or excavation performed in conjunction with such work.

Any contract signed in violation of the above procedures will be null and void except maintenance contracts with Department of Public Works, which can be approved by either their Oversight Committee or the Board of Supervisors whichever meets first.

The following are not subject to competitive bidding: Purchase contracts under \$20,000 and Public Works contracts under \$35,000; emergency purchases; goods purchased from agencies for the blind or handicapped; purchases under State Contracts; surplus and second-hand purchases from another governmental entity. The decision that a purchase is subject to competitive bidding will be documented in writing by the purchasing agent.

All goods and services will be secured by written requests, verbal quotations, or any other method that assures that goods will be purchased at the lowest price and that favoritism will be avoided.

The following method of purchase will be used when required by this policy in order to achieve the highest savings:

ESTIMATED AMOUNT OF PURCHASE CONTRACT

METHOD

\$ 250 - \$2,999	3 verbal quotes
\$ 3,000 - \$20,000	3 written quotes or written requests for proposals

ESTIMATED AMOUNT OF PUBLIC WORKS CONTRACT METHOD

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\$ 500 - \$ 2,999	3 verbal quotes
\$ 3,000 - \$ 4,999	3 written quotes
\$ 5,000 - \$35,000	3 written quotes or written request for proposals

Purchases over \$2500 must be approved by the county finance committee and full board of supervisors: except DPW county fleet and/or Public Transportation.- maintenance, parts, etc.

If the County Department Head, Officer and/or Official are unable to obtain the required number of proposals or quotes, the purchaser will document the attempt made at obtaining the proposals.

Documentation is required of each action taken in connection with procurement.

A. Purchase Orders are to be used for registration fees and when this is not feasible, a credit card can be used. The County Department Head, Officer and/or Official should review the purchase then imprint ACS user code on the requisition approval screen by hitting F7.

B. After County Department Head, Officer and/or Official approval, the requisition is sent electronically to the Office of the Purchasing Agent where it is checked for accuracy, price quotes [if required] and all information contained is reviewed. The Purchasing Agent also verifies that the County Department Head, Officer and/or Official has personally approved the purchase by imprinting their ACS user code on the requisition.

C. If the requisition appears to be in order, the Purchasing Agent will generate a Purchase Order and return the signed Purchase Order to the department. Purchase Orders approved in this manner are the only valid method of making a purchase.

D. County Department Heads, Officers and/or Officials should designate an employee to verify that the goods or services ordered have been received. In order to maintain internal control procedures, this must not be done by the same employee who entered the requisition into the purchasing system. Once the goods and/or services have been received, the department is to check the corresponding invoice against the Purchase Order and make any necessary adjustments [add shipping and handling, take discounts, etc.]. All packing slips or invoices must be signed by the individual who received the goods or services.

E. The department must now attach an invoice along with any other attachments [receipts, mileage documentation, lodging bills, etc.] must then be taken to the Auditor's Office.

F. The Auditor's Office reviews all materials presented with the Purchase Order and if complete and correct will prepare for payment.

All items to be presented for payment should be in the Auditor's Office not later than 12 noon on Friday to assure payment on the following Wednesday. This allows the Treasurer's Office adequate time to review the abstract for payment before issuing checks on Wednesday. (A – F)

Documentation and an explanation is required whenever a contract is awarded to other than the lowest responsible vendor. This documentation will include an explanation of how the award will achieve savings or how the vendor was not responsive.

Pursuant to General Municipal Law Section 104-b[2][f], the Procurement Policy may contain circumstances when, or types of procurement for which, in the sole discretion of the governing body, the solicitation of alternative quotes or proposals will not be in the best interest of the municipality, such as:

1. Professional services or services requiring special technical skill, training or expertise. These qualifications are not necessarily found in the individual or company that offers the lowest price and the nature of these services is such that they do not readily lend themselves to competitive procurement procedures.
2. Emergency Purchases where a delay to seek alternative proposals may threaten the life, health, safety or welfare of the residents.
3. Goods or Services under \$250.

It is the responsibility of the Requisitioned/Department to ensure that sufficient funds are available in an appropriation before committing the County to a purchase.

All purchases by County Departments of computers, computer equipment, software, telecommunications services and equipment, and any contracts including those for service relating to the above, shall not be initiated until approval has been given by IT Department.

Purchases/Requisitions exempt from the normal purchasing procedure are meals that are NOT included in a conference registration fee; mileage; tolls and parking fees, recurring service expenses [telephone, electric, postage, etc.] and contractual expenses.

Vouchers must be submitted electronically and Purchase Order must be printed. As with ACS Purchase Orders, all supporting documents must be submitted to the Auditor to assure payment.

Mileage Claims:

- a. Date of travel;
- b. Origin and destination of travel;
- c. Reason for travel;
- d. Odometer reading at start and finish of travel and/or mapquest
- e. Out of state travel must be approved by the Board of Supervisors prior to the date of travel and;
- f. Employees are reimbursed at the prevailing IRS approved mileage rate for verified employees' use of their personal vehicles for assigned County business;

Parking/Tolls Claims

- a. Justification for travel;
- b. Destination;
- c. Receipts for parking fees/tolls must be attached to the voucher in order to receive reimbursement and;
- d. Date of travel;

Meal Claims

- a. Schoharie County will reimburse for the meals of County Employees and Department Heads, Officers and/or Officials Only. Payment for non-employees needs prior approval from the County Auditor;
- b. The maximum amount that the County will reimburse for Breakfast & Lunch is up to \$8.00 and Dinner is up to \$18.00 per person;
- c. A dated receipt which includes the name and address of the eating establishment, must accompany the form being submitted for reimbursement;
- d. Justification for meals charged to the County must be County related business and;
- e. County will not be responsible for Alcoholic Beverages or Gratuity/Tip on an Employee's meal(s). Gratuity is a reward paid for personal services rendered.

Conference Registration Fees

A purchase order should be used for registration fees, and when this is not feasible, a credit card will be used. The employee will reimburse the County if the employee fails to show and fails

to send a substitute employee. The Department should send a purchase order as registration confirmation. Reimbursable expenses will be made promptly after the Auditor receives the proper receipts and confirmation that the employee did attend the conference.

3.2 - Contract Monitoring Procedure

1. All contracts must first (1st) go to their respective oversight committee.
2. The oversight committee sends all contracts on to the County Attorney for review.
3. If there is any county matching funds or cost to the county, the County Attorney sends his approval of the contract to the Finance Committee.
4. The Finance Committee upon approval sends the contract to the Board of Supervisors.
5. The County Attorney will give a synopsis to the Board of Supervisors of any responsibilities of the county to the contract.
6. Upon Board of Supervisors adoption of the contract, it is signed by the Chairman of the Board and filed and recorded in the Clerk of the Boards records.

Monitoring Projects

1. Each project will have a Clerk of the Works
2. The Clerk of the Works may be a current county employee or be hired from the outside to oversee the project by an RFP.
3. Any project exceeding \$250,000 will require a Clerk of the Works except for DPW projects that due to maintenance or replacement of existing structures that are under supervision of the DPW Commissioner.
4. The Clerk of the Works will generate weekly reports to the Chairman of the Board and County Administrator.
 - A. The report will include tracking of % completion, cost to date vs completion cost and % of calendar days and forecast final cost vs budget.
5. Any change order that increases the cost to the county or significantly alters the nature, use of or eutectics of the project will be brought in writing to the attention of the Chairman of the Board and County Administrator before any work progresses involving the change order and refer it to the County Attorney.
 - A. The Chairman of the Board will call a special Board of Supervisors meeting within two (2) working days.
6. The Board of Supervisors will be advised by the Clerk of the Works and the County Attorney and under roll call vote decide how to proceed.
7. The Chairman of the Board will sign all change orders after approval of the Board of Supervisors.

A weekly or biweekly meeting, depending on the scope of the project will take place between the designated representative(s) of the construction firm, A & E firm, any regulating agency directly involved and the Clerk of the Works. Minutes of this meeting will be taken and those minutes will be part of the weekly Clerk of the Works report to the Chairman of the Board and County Administrator, filed with the Clerk of the Board and distributed by email to all Board Supervisors.

3.3 – Void County Contracts

No County Department Head, Officer, Official or Employee is authorized to sign any contract unless it has been approved by both the Board of Supervisors and the County Attorney has approved its form and legality. Additionally, no contract that contains an amount in excess of fifty thousand dollars (\$50,000) shall be entered into unless it is reviewed by the County Attorney to ensure not only its form and legality, but also to ensure that the terms of the contract reflect the Board of Supervisors understanding of said contract. Any contract signed in violation of the above procedures will be null and void except maintenance contracts with Department of Public Works, which can be approved by either their Oversight Committee or the Board of Supervisors whichever meets first.

3.3A - County's Logbook of Contracts

The Clerk of the Board shall cause every County Contract to be filed in the County's "Logbook of Contracts" within fifteen (15) days of acceptance of said contract. This Logbook is to remain on file in the Chairman of the Board's Office at the County Building so that any valid contract can be quickly reviewed. After a County Contract expires it may be removed from said Logbook.

3.4 - Memorandum of Understanding / Memorandum of Agreement

The appropriate Board of Supervisors' Oversight Committee(s) must first review every proposed "Memorandum of Understanding" and "Memorandum of Agreement" before it is signed and/or entered into. Additionally, all "Memorandums of Understanding" and "Memorandums of Agreement" must be approved by the Board of Supervisors and by the County Attorney prior to any County Employee, Department Head, Officer and/or Official signing them. When a "Memorandum of Understanding" or "Memorandum of Agreement" contemplates County expenditures in excess of fifty thousand dollars (\$50,000) the County Attorney must also review said Memorandum to ensure that its terms reflect the Board of Supervisors understanding of it.

3.4A - County Logbook of Memorandums

The Clerk of the Board shall cause every "Memorandum of Understanding" and "Memorandum of Agreement" to be filed in the County's "Logbook of Memorandums" within fifteen (15) days of acceptance of said agreement. This Logbook is to remain on file in the Chairman of the Board's Office at the County Building so that any Memorandums can be quickly reviewed. After Memorandum expires, it may be removed from the Logbook.

3.5 – Inventory of County Property

The following is the County's procedure for handling inventory. This process or any questions on inventory are handled through the Clerk of the Board's Office:

1. All items over \$100, which are not considered consumables, are to be inventoried with an inventory tag. This shall include any State or Federally owned items. These items should be marked as such.
2. Use a General *Inventory Change Form in order to obtain an Inventory Tag so the item can be added to the correct inventory.

3. Removing items for any reason (example: Surplus, Unusable, Transferred) from your inventory should also be done on the *Inventory Change Form and by getting approval and signatures from your Oversight Committee(s).
4. Invoices for newly purchased items that are required to be inventoried will not be paid unless an *Inventory Change Form has been attached.
5. Department Inventories will be printed for review on a yearly basis.

3.6 – Surplus or Unusable County Equipment

Departments must submit a list of items they would like considered as Surplus or Unusable to their Oversight Committee(s) and then the Committee(s) will decide how the items are to be classified.

3.7 - Purchases and Procurement utilizing "Piggybacking"

A. The County may utilize "piggybacking" mentioned in Section 3.1, as authorized by GML Section 103 (16), for purchases or procurements when authorized by the Finance Committee and the Board of Supervisors provided the entity has complied with the following:

1. The contract was let by the United States or any agency thereof, any state or other political subdivision or district therein;
2. There was public solicitation of bids or, in the case of best value, offers if County has enacted the necessary Local Law;
3. There were sealed bids or offers, or analogous procedures to secure and preserve the integrity of the process and confidentiality of the bids or offers submitted was utilized.
4. The contract was awarded to either the lowest responsible bidder or on the basis of best value in a manner consistent with GML Section 103.
5. The County shall, when preparing and publishing all future bids and RFP's, includes a statement that any municipality, agency and political subdivision authorized under GML Section 103 shall be allowed to "piggyback" on all contracts awarded by the county to the lowest responsible bidder or on the basis of value.

CHAPTER IV

Personnel and Hiring

4.1A – Hiring and Filling Vacancies

ALREADY EXISTING POSITIONS:

1. Appointing authority reviews job specification with Personnel Officer.
2. Appointing authority submits “Request for Personnel Action for Vacant Position in the Budget” form to Oversight Committee, Personnel and Finance for approval.
3. **If competitive class position:**
 - a. If promotional opportunity – appointing authority follows Article XI, Section 2 of CSEA contract.
 - b. Otherwise, if eligible list exists, submit “Request to Canvas” to Personnel Office.
 - c. If eligible list does not exist, or if appointing authority chooses not to use a non-mandatory list (less than 3), advertise and/or post. Copy of advertisement and posting must be sent to personnel office. Applications accepted in personnel office. Personnel Officer must review applications to verify eligibility.

If Non-Competitive or Labor class position:

- a. If promotional opportunity – follow Article XII of CSEA contract.
- b. Otherwise, advertise and/or post for vacancy. Copy of advertisement and posting must be sent to Personnel Office. Applications accepted in personnel office. Personnel Officer must review applications to verify eligibility.

If Exempt class position:

Appointing authority must complete a review of exempt class position with Personnel Officer.

4. Appointing authority conducts interviews of eligible candidates and checks references.
5. Appointing authority makes offer; candidate accepts.
6. Appointing authority notifies Personnel Office of potential employee; Personnel Office arranges pre-employment physical and drug test, establishes start date and sends letter with pre-placement information to candidate.
7. Appointing authority sends Form 426, Request for Personnel Action form and application to Personnel Office.
8. Appointing authority notifies any other candidates interviewed of non-selection.
9. Personnel office conducts entrance interview on first day of hire which shall include discussion of code of ethics, policy manual, union contract, civil service status, review of job specification, statement of confidentiality, NYT User Agreement, oath of office (unless labor class), safety and sexual harassment policies; after which the employee signs in agreement..
10. Employee completes payroll and benefits forms at the Treasurer’s Office. **(1 – 10)**

NEWLY CREATED POSITIONS:

1. Appointing authority submits *MSD-222 to Personnel Office; Personnel Officer assigns title and, if needed, produces new job specification.
2. The Supervisors and the Personnel Officer discuss and come to an agreement to assign the proper pay grade for the position created.
3. Appointing authority submits “Request for Personnel Action” form to oversight committee, Personnel Committee and Finance Committee for approval and signatures.
4. If promotional opportunity – appointing authority follows Article XI, Section 2 of CSEA contract.

5. Otherwise, appointing authority advertises and/or posts. Copy of advertisements and postings must be sent to Personnel Office.
6. Applications accepted in personnel office, Personnel Officer must review to verify eligibility.
7. Follow steps 4 – 10 under already existing positions above. **(1, 3-4)**

IN ABSENCE OF A DEPARTMENT HEAD THE BOARD OF SUPERVISOR'S WILL APPOINT AN INTERIM.

NON-COMPETITIVE CLASS DEPARTMENT HEAD, HIRING TIMELINE:

Resignation announced, Department Head leaves within 30 days [Public Officers Law]. Or, a vacancy occurs due to immediate resignation, termination or other circumstance.

Within next

(approx)

30 days Temporary appointment made (in conformance with Civil Service Law) by Chairperson of BOS. Temporary appointment of a candidate for permanent appointment should be avoided. Personnel Officer updates job specification with input from other counties, current incumbent, oversight committee and Personnel Committee; prepares ad for the position, which is reviewed by oversight committee and Personnel Committee.

1 month Advertise in appropriate newspapers, publications or other media sources soliciting applications for the position; post within county. Personnel Officer reviews all applicants for eligibility (minimum qualifications); letters returned to all applicants informing them of process; any information needed to confirm MQ's is requested. Contact made with any state offices mandating approval of candidates*; Personnel Officer completes reference checks for final candidates.

[*Director of Community Mental Health Services – Must contact Inter-Office Coordinating Council; Director of Public Health – State Commissioner of Health; Commissioner of Social Services – Office of Temporary and Disability Assistance; Director of Real Property Tax.]

2 mos. Personnel Officer meets with oversight committee and representative from any affiliated board or council to review applications, discuss interview questions, set interview format and relay information.

Committee members each receive copies of all applications/resumes. Applicants are divided into **Well-Qualified, Qualified and Not Qualified**. [Criteria includes education and experience.]

Interview list established – any qualified applicant a member of the interview committee recommends. Personnel Officer schedules interviews with selected candidates and sends letter to all qualified candidates that are not selected for interview.

2.5 mos. Oversight committee conducts first step interview. Personnel Committee receives copies of all applications along with names of top 2 or 3 candidates as recommended by the oversight committee. Personnel Officer schedules 2nd step interviews with Personnel Committee and representative of Department Head Association.

3 mos. Interviews conducted by Personnel Committee.

3.5-4 mos. Personnel Officer schedules final 2 or 3 candidates to be interviewed by full Board of Supervisors; chair of Interview committee makes offer to final candidate.

4 mos. Personnel Office schedules pre-employment physical and drug screen.

4.5-5 mos. Appointee begins employment.

COMPETITIVE CLASS

DEPARTMENT HEAD, HIRING TIMELINE:

Resignation announced. Department Head leaves within 30 days [Public Officers Law]. Or, a vacancy occurs due to immediate resignation, termination or other circumstance.

Approximately within next

(approx)

- 30 days** Personnel Officer updates job specification with input from other counties, current incumbent, oversight committee and Personnel Committee. Personnel Officer considers internal candidates to see if there is a viable and logical promotional candidate. If so, Personnel Officer and oversight committee determine promotional qualifications. If no internal promotional candidates(s), follow the timeline for selecting a Non-Competitive class Department Head. [After appointment, the candidate will need to take examination and be reachable on the resulting eligible list.]
- 1 mo.** If a promotional field exists, job opportunity is posted within department and applications accepted.
Personnel Officer reviews all applicants for eligibility (promotional qualifications as established); letters returned to all applicants informing them of process.
- 2 mos.** Personnel Officer meets with oversight committee and any affiliated board or council to review applications, discuss interview questions, set interview format and relay information. Committee members each receive copies of all applications/resumes. Interview list is established —any qualified applicant the interview committee recommends. Personnel Officer schedules interviews with selected candidates and sends a letter to all qualified candidates that are not selected for interview.
- 2.5 mos.** Oversight committee conducts 1st step interviews. Personnel Committee receives copies of all applications along with the name of the top 2 or 3 candidates as recommended by the oversight committee. Personnel Officer schedules 2nd step interviews with the Personnel Committee and a representative of Department Head Association.
- 3 mos.** Interviews conducted by Personnel Committee; Personnel Officer completes reference checks for final candidates.
- 3.5-4 mos.** Personnel Officer schedules final 2 or 3 candidates to be interviewed by full Board of Supervisors; chair of Interview committee makes provisional offer to final candidate.

4.1B Employment Hires/Rehires & Separations

1. Any employee who voluntarily separated without a leave of absence and requests to be and is chosen to be rehired by the County will be reinstated to a position as new hire at step 1 of the salary grade.
2. If re-hired and there is a break in service a new pre-employment physical and drug screen is required for all persons. In certain situations, requests for immediate hires must be submitted in writing to the Chairman of the Board for approval, if approved for immediate hire, a physical exam and drug screen will be required as soon as possible after hire.

3. Employees leaving county employment are required to have an exit interview with the Personnel Officer on their last day. All county property is to be turned in at this time.

4.2 – Holding Several County Jobs Simultaneously

Due to the extra costs mandated by the Federal Fair Labor Standards Act, no full time county employee may simultaneously hold any additional employment with the county unless approval has been obtained from the Schoharie County Board of Supervisors.

Due to the high cost of health insurance, no part time county employee may hold a second part time county job simultaneously, nor may they work more than half of the time prescribed or more than half of the rate assigned to the position, unless approval has been obtained from the Schoharie County Board of Supervisors.

4.3A – Leave of Absence

An appointing authority may grant their employee(s) an unpaid leave of absence for up to one (1) year without Board approval. In the absence of a Department Head or the Department Head is on probation in their position any leave of absence must be approved by the Board of Supervisors. The leave of absence may not be more than one year at a time, or total more than one year in any three-year (3) calendar period.

In order for an extension to be granted for the above-mentioned time periods, the appointing authority must obtain permission from the Board of Supervisors. Any leave of absence granted to an employee that is required by law shall not be included in calculating the above-time periods.

4.3B – Paid Leave of Absence for Discipline Reasons

Subject to the disciplinary procedures found in the CSEA, Schoharie County Sheriff's Road Patrol Association and Corrections Officers contracts, and with the exception below, no employee shall be placed on a paid administrative leave unless approval has been given by the Board of Supervisors and the County Attorney. In extreme cases when an appointing authority may need to place an employee out on a paid leave prior to getting the approval from the Board of Supervisors the Chairman, Vice-Chairman, Oversight Chairman and County Attorney must be informed and give approval prior to the leave taking place. The full Board then needs to meet and vote on whether or not to continue the paid leave within 48 business hours. However, if deemed necessary by a Department Head and a Doctor, in cases of medical emergencies, a Department Head may place an employee on Administrative Leave until either the next regular Board of Supervisors Meeting or the next meeting of the appropriate Oversight Committee, whichever comes first. If said employee is on paid leave for more than 6 months this should be referred to the County Labor Attorney. Should there ever be a conflict between a decision enacted under this rule and Schoharie County Civil Service Rule XVIII, then rule XVIII would prevail.

4.4 – Reimbursement of Health and Dental Insurance Premiums to Certain County Employees

An employee who has completed six (6) months of continuous service and who is granted an unpaid leave for personal illness shall be entitled to receive County reimbursement of the county paid portion of the insurance premium for a maximum period of three (3) months for premiums paid by the employee during the period of unpaid leave, such payment to be made upon the employee's return to full-time status.

Any employees electing family insurance coverage shall not be reimbursed for twenty-five (25) percent of the premiums paid by the employee for dependent coverage during the entitlement period.

4.5 – Court Appearances

Any employee required to appear before a government agency or court of law for a county job-related reason shall not be required to use contractual leave time for said appearance. In addition, any employee who needs to appear before any of the above organizations for reasons indirectly related to their employment with the county (e.g. workman's compensation claim) shall not be required to use any contractual leave time for said appearance.

When a county employee receives a subpoena to appear before the above agencies concerning any incident not related to his/her county employment, said employee must charge the time away from work to their leave time credits. This paragraph only applies when the employee is served with a subpoena. If the employee is paid for his/her appearance by an outside entity, he/she shall sign all of the money over to the County Treasurer's Office immediately upon receipt. Said employee shall not be required to reimburse the Treasurer's Office for money designed to cover costs.

A county employee may, if he/she so desires choose instead to take contractual leave time and thus keep all monies paid by the outside entity.

County employees shall not be charged with any leave time for jury duty, but shall reimburse the County for any monies paid to them.

REFERENCE: BOS 4/19/02, Res. #59.

4.6 – Employee Breaks *(Discretion of Each County Department Head, Officer or Official)*

Maximizing productivity is an important goal in public service of all County Department Head, Officer and/or Official. Productivity in some cases rises when the employee is given temporary relief from the job.

Each County Department Head, Officer and/or Official is in the best position to know the needs of his/her own department. As such, each County Department Head, Officer and/or Official is authorized to issue breaks within his/her department, should he/she deem it desirable. However, in no instance shall such break exceed one half hour in any given workday. In addition, failure by an employee to use permitted time for a work break will not allow an employee to leave early.

The time and location of each break is within the discretion of each County Department Head, Officer and/or Official.

4.7 – Access to Employee Personnel Files

The County Personnel & Civil Service Office will maintain all Personnel, Medical and Civil Service files *(see note) and they are the official files unless state mandates require otherwise. In state mandated cases files in all locations must be maintained as required by law. Any other file maintained by the department head within a department will be merely a duplicate file.

The files will contain anything deemed necessary per Federal, State or County Laws/Policies. Nothing will be inserted into an employee's personnel file without the employee's knowledge (the employee need not agree with the contents of the item being inserted).

Only the following people may have items inserted into the personnel file: the department head, the employee in response to an item inserted by the department head, and the Board of Supervisors (pursuant to a vote of the Board).

An employee may see his/her personnel file as a matter of right. The Board of Supervisors and/or the Personnel Committee may, pursuant to a vote, see the contents of a personnel file. A department head may also see a personnel file for any employee in his/her department as a matter of right.

Representatives of other governmental agencies, when acting within their official capacity, may be granted access to an employee's personnel file with permission of the Personnel Officer.

***NOTE:** The "official" personnel files of all employees of the Schoharie County Sheriff's Office shall be maintained by and at the administrative office of the Schoharie County Sheriff, provided however, that the Personnel Officer shall be entitled to maintain the following records: Application Form 330; Report of Personnel Change Form 426; Request for Personnel Action Form; Medical, Physical and Agility Form; any other records required by law to be kept by the Personnel Officer.

4.8 – References/Recommendations

A County Department Head, Officer and/or Official is only authorized to release the following information concerning employees seeking references/recommendations: job titles, salary and dates of employment. All employees are required to refer any reference/recommendation inquiries to their department head.

Any information given out in violation of this policy will subject an employee to disciplinary procedures.

4.9 – Drug & Alcohol-free Work Place

I. Statement of Purpose

We, the Board of Supervisors of Schoharie County, are strongly committed to provide services to our residents with the highest quality in the safest, most conscientious manner. Our reputation as leaders in our county depends on it. We also are dedicated to providing safe, healthful and efficient working conditions for our employees. In addition, as a municipal government, we have a duty to safely and efficiently provide the public with quality services at a reasonable cost. The presence of controlled substances in the workplace conflicts with the vital interest and constitutes a violation of the public trust. For these reasons, we have established, as a condition of employment and continued employment, the following Drug & Alcohol-free Workplace Policy; along with the adoption on 01-01-01 of the *CDL & Safety Sensitive Positions-Drug and Alcohol Testing in conformity with the Omnibus Transportation Employee Testing Act of 1991.

II. Policy

1. Prohibition against Presence of Controlled Substance and/or Alcohol in Workplace. The manufacture, distribution, dispensation, possession, or use of a controlled substance on County premises and/or in County vehicles. Working while under the influence of Drugs and/or Alcohol while on County time is strictly prohibited.
2. Notification of County Offices, County Department Heads, Officers, Officials, Employees and Contractors of Drug & Alcohol-Free Workplace Policy. The County Personnel Officer is hereby directed to provide a copy of this policy to each and every County Office, Department Head, Officer, Official, Employee and Contractor of the County of Schoharie, upon hiring/employment and entrance interview. Each employee/contractor must sign stating they received and understand.
3. Notification of Workplace Drug and/or Alcohol Conviction. You must notify the Department Head and the County Personnel Officer of any criminal drug or alcohol statute conviction for a violation occurring in or outside of the workplace no later than three (3) days after such conviction. For County Department Heads, Officers and/or Officials and Contractors, the County Personnel Officer will advise the Board of Supervisors of such conviction. Immediately upon such notification, the Board of Supervisors are then responsible for notifying any affected Federal granting agency of such conviction.

4. Compliance as a Condition of Employment. All County Department Heads, Officers and/or Officials, Employees and Contractors are hereby advised that full compliance with the foregoing policies shall be a condition of employment with the County of Schoharie.
5. Sanctions for Violation of Drug & Alcohol-Free Workplace Policy. Any County Department Head, Officer, Official, Employee and Contractor who violates the foregoing drug and alcohol free workplace policy described above shall be subject to discipline up to and including immediate discharge. (see CDL Drug & Alcohol for process).
6. Required Participation in Drug and/or Alcohol Rehabilitation. In the sole discretion of the County of Schoharie, and County Department Head, Officer, Official, Employee and Contractor who violates the County's Drug & Alcohol-free Workplace Policy, may be required, as a condition of continued employment, in connection with or in lieu of disciplinary sanctions, to participate to the County's satisfaction, in an approved drug and/or alcohol assistance or rehabilitation program, including inpatient treatment, if deemed necessary.
7. Random and/or selective Drug & Alcohol testing applies to all County employees and any drivers under Personal Service Contracts Relating to Transportation. All County Department Heads, Officers and/or Officials are directed to provide in all future contracts, and advertisements for bids, relating to the award of contracts for personal services involving transportation of clients of county agencies or agencies receiving county funding, that the County of Schoharie in its sole discretion, reserves the right to conduct random and/or selective drug & alcohol testing of any and all such drivers, as a condition of awarding and/or continuing such contracts. Failure to submit to such testing may in the County's sole discretion, constitute automatic grounds for nullification and cancellation of such contract. (1-7)

SEE APPENDICES FOR BOTH CDL POLICY AND REASONABLE SUSPICION.

III. Drug-free Awareness Program

In order to maintain a drug & alcohol-free workplace, the County of Schoharie has established a drug & alcohol-free awareness program to educate employees on the dangers of drug and/or alcohol abuse in the workplace, our drug & alcohol-free work place policy, the availability of any drug & alcohol-free counseling, rehabilitation and the penalties that may be imposed for violations for our drug & alcohol-free workplace policy. Such education shall include but not limited to:

- a. Initial distribution of the County's drug & alcohol-free workplace policy by the County Personnel Officer;
- b. Distribution of the county's drug and alcohol- free workplace policy at the employment interview;
- c. Discussion of the county's policy at the new employee orientation session;
- d. Available list of approved Drug & Alcohol Assistance Agencies, Organizations and/or Clinics; distribution of published educational material regarding the dangers of drug & alcohol abuse; re-orientation of all involved employees in cases in which a drug & alcohol related accident or incident occurs and
- e. Inclusion of the policy in employee handbook and any other personnel policy publications; lectures or training by local Drug & Alcohol Abuse Assistance Experts.

4.10 – Grievances

(shall comply with Contract Agreements)

4.11 - Military Leave

POLICY: All employees will be granted thirty (30) days of paid military leave while serving annual military duty or attending service school as required by Reserve or National Guard enlistment, or being called to active duty for service for an extended period of time. The period of authorized leave will include travel time to and from the assigned duty station.

Use of Military Leave

1. The entire (30) thirty days paid leave allowance must be used before military leave without pay, or the use of accrued vacation, personal leave or holiday leave may be granted. The use of accrued time is optional by the recipient.
2. Paid military leave is chargeable on a work day/calendar day basis.
3. The amount of military leave with pay allowed for each absence should be the number of consecutive calendar days covered by the military orders, but beginning on the first workday covered by the orders.

PROCEDURE: It is the employee's responsibility to notify his/her supervisor as soon as he/she is directed to report for such duty. The employee will provide the supervisor with a copy of the military orders or other substantiating documentation such as a schedule of regular meetings or a verifying letter of performance from the commanding officer. Once the military leave has been completed, it will be the employee's responsibility to obtain a "Certificate of Performance" from the Commanding Officer and upon returning to work, will provide a copy to the supervisor. The employee is also responsible for attaching a copy of the "Certificate of Performance" to his/her Time and Accrual Record upon submission to the Time Records Unit. Completed time records must reflect the actual times and dates of absence.

Employee Benefits While On Military Leave

4. Employee will be paid regular salary for a period not to exceed (30) thirty workdays within a year.
5. Employee will continue to accrue all benefits while on leave as if working a normal schedule.
6. Employee will be on an automatic non-paid leave after using the thirty paid days, and/or accrued leave.
7. Employee's position will be available to him/her upon return from extended military duty.

4.12 – County Policy Supporting Employees who are Volunteer Fire and EMS Volunteers

The County Board of Supervisors supports all Fire and EMS volunteers who are also employees of the County. The Board of Supervisors understands that occasions arise during working hours when additional volunteers are needed in the community during times of fire and other emergency. The County Departments should support those employees in order that they can respond to the needs of the community on an as needed basis, since that only serves to support the public good, safety and welfare. Such volunteer service would usually be without loss of pay or accrued time for the employee, but since County operations and employees roles are also important, this must be at the discretion of the department head, but this Board asks each department head to evaluate such needs in advance to avoid problems with employees responding when called to serve.

CHAPTER V

County Facilities & Property

5.1 – Access to County Buildings and Properties After Hours

The county buildings, facilities and properties are open to the public during the normal business hours of 8:00 a.m. - 5:00 p.m., Monday through Friday, legal holidays excepted. Any departments with different hours are required to post the office hours for the public. Plus, all office hours are to be posted on the County website.

The county buildings, facilities and properties will be closed nightly at 6:00 P.M., except Wednesday when it will be 7:30 PM due to security reasons. If a committee, department or organization has need to have a county building, facility or property opened later than the specified time on a specific night, then they will first need to contact the Clerk of the Board of Supervisors well in advance of planned activity providing reason, name of department or organization, name of responsible person for the event, and date and time that the county building, facility or property should be open. This information shall then be communicated by the Clerk of the Board of Supervisors, to the Sheriff's Office and the Buildings and Grounds Division of DPW who shall keep all approvals on file. The Clerk of the Board of Supervisors is hereby delegated the duty to approve or disapprove the granting of access in any and all instances.

Any county officer or county employee may enter the county building, facility or properties at anytime. Members of the public may be allowed into the county building, facility or properties after hours only if they are attending an approved designated meeting. A list of non-business hour meetings shall be scheduled through the website.

5.1A – Scheduling of Conference Rooms in County Office Building

Scheduling of the conference rooms in the County Office Building shall be done through the Clerk of the Board of Supervisors to ensure accurate and coordinated scheduling.

5.1B – Staffing County Offices

All departments with five (5) or more workers shall remain open with at least one (1) person from such department being present on all days that county business is conducted.

5.2 – Building Maintenance in Each Department

The Division of Building and Grounds in the County Department of Public Works shall use the designated work order form whenever there is a need for construction in a department.

Absent an emergency, the work order needs to be submitted to the Division of Buildings and Grounds before any services may be performed. The only person authorized to sign the form shall be the department head and/or his/her designee. Whether or not a given situation constitutes an emergency is within the exclusive discretion of the Commissioner of Public Works.

5.3 – Location of Work Site

Subject to the exception below, all work performed by county employees must be done in county offices unless the nature of the service provided is required to be performed at outside sites. No committee of the Board of Supervisors is authorized to suspend this policy.

Performance of duties by an employee at home is permitted only if:

- a) The work is of an urgent or emergency nature, and
- b) the employee's doctor approves of it, and
- c) The employee and the department head agree to it, and
- d) Said permission is granted only until the next monthly meeting of the Board of Supervisors, at which point the Board of Supervisors must approve or disapprove said request.

5.4 – Use of County Phone and/or Cell Phones by County Employees for Personal Phone Calls

Employees are prohibited from making personal phone calls on county telephones and/or cell phones unless it is an emergency, whether long distance or local. Likewise, incoming personal phone calls are also limited to emergency matters.

Any non-emergency personal phone use shall be made on a public telephone/private cell phone during an authorized break period. A personal phone call may be made on a county phone during a break period if the employee uses a home phone credit card.

5.5 - Smoking on County Property

A. Indoor Policy

Smoking is prohibited in any indoor area of any County Owned or Occupied Buildings and smoking is prohibited in any indoor area or portion thereof under the control of the county in which employees perform services.

Smoking is prohibited in any county-owned vehicles. The County shall supply a written copy of this Smoking Policy to all new hired employees and upon written request to an existing employee.

The County shall, as far as practicable, assist employees in identifying and attending smoking cessation programs.

"Smoking" or "No Smoking" signs or the international "No Smoking" symbol shall be prominently posted and properly maintained where smoking is regulated by this policy.

In accordance with Article 13-E of the New York State Public Health law and prescribed penalties found in Section 1399-V, it shall be unlawful to fail to comply with the provisions of this policy and it shall be further unlawful for a person to smoke in any area where smoking is prohibited.

Each County Department Head, Officer and/or Official shall be responsible for informing individuals that smoking is not permitted in the public areas immediately adjacent to their respective departments. The Sheriff shall assist the County Department Heads, Officers and/or Officials with compliance when necessary. Also, each County Department Head, Office and/or Official shall be responsible for carrying out this policy within the areas of the county-owned or occupied building for which he/she is responsible.

Upon receipt of a written notice and investigation of violation of this policy, each County Department Head, Officer and/or Official shall serve the offending employee as follows:

- I. Initial offense, a verbal warning;
- II. Second offense, a written warning and
- III. Third offense, a written charge of insubordination and violation of Article 13-E of the New York State Public Health Law, leading to penalties applicable under either Section 75 of the New York State Civil Service Law and/or the New York State Public Health Law, and/or any disciplinary process authorized by the Public Employee Union Contract.

B. Outdoor Policy

For employees on breaks, there is a designated smoking area in the rear of the County Office Building. All employees who smoke are required to take their smoking breaks in that area. Said employees upon request will be given a personal key code for admittance from that area.

Public will be required to smoke 25 feet away from any entrance.

5.6 - Sales in County Buildings

With the exceptions listed below, all commercial sales and sales-related activities, such as soliciting and delivering, whether conducted by employees or non-employees, are prohibited in county buildings.

Exception No. 1. In conjunction with the CSEA, the county provides a general snack/lunch room for all employees, so long as space permits, and under terms and conditions agreed to by the county and union.

Exception No. 2. Coffee and snack operations will be allowed in locations and on conditions approved by both the head of the department where the operation is physically located and the Commissioner of Public Works or his/her designated Buildings and Grounds Representative. All food-stuffs must be tightly sealed at all times. The Employee or Vendor providing the service is responsible for keeping the snack area clean and tidy at all times. Any spills must be cleaned up immediately. Permission to operate the snack operation may be withdrawn at any time by either:

1. County Department Head, Officer, Official;
2. Commissioner of Public Works;
3. Board of Supervisors

5.7 – County email

The County Email System shall be used for **County Business Only**. It shall not be used for personal matters.

5.8 – Electronic Images

Pursuant to Section 99-b(2) of General Municipal Law, county officers who utilize checking accounts on behalf of the county may accept electronic images in lieu of return of actual cancelled checks and deposit slips, provided that such images shall:

1. Be easily readable and in sequential order; and
2. Show both sides of each check or deposit slip.

For purposes of record keeping and auditing, such electronic images shall be considered by the county and county offices as the equivalent of the original cancelled checks.

5.9 – Animals in County Buildings

Animals/Pets are not allowed in County Buildings except those animals that aid the disabled.

5.10 – Tool Reimbursement

Mechanics in both DPW & Public Transportation will be reimbursed for tools purchased which are essential for their work or which are worn or damaged doing their job on behalf of the County. A receipt must be present for verification of the purchase along with filling out and following the instructions on the Tool Reimbursement Form obtained from the Department of Public Works Office. All tool purchases are to be submitted for reimbursement in the same year as the tool(s) purchased, unless a situation causes otherwise. Each of those situations will have to be looked at by the Commissioner of Public Works or the Director of Public Transportation on a case-by-case situation. The maximum amount allowed for new tools is \$350 per year, per person. Tools that are required for the job and that are damaged in the course and performance of duty will be covered under the CSEA contract Article 6 section 4.

CHAPTER VI

Duties of County Officers

6.1 – Review & Updates of Manual

Each year the Policies & Procedures Manual will be reviewed by the Management and Policy Review Committee to see if there should be any recommendations for change. Any request(s) for changes should be presented in writing to the Personnel Officer by the end of the first week in November and March of each year. After review, the Management and Policy Review Committee will submit the changes to the Rules & Legislation Committee and then Rules & Legislation will make any recommendations for change(s) to the Board of Supervisors. Rules & Legislative Committee will schedule a meeting to review reasons for additional changes or questions about changes from the County Department Heads, Officers, Officials and/or Unions. Once all changes have been added, Rules & Legislative Committee will then present to the full Board of Supervisors for a motion to adopt said changes. If approved by the Full Board, the Personnel Officer shall make such changes to the manual. All changes/updates will be noted in the Record of Changes section of this manual then a copy will be forwarded to all County Officials and Union presidents within the county.

6.2 – Standard Work Day for Certain Part-time Officers and/or Officials

Many County Officers and/or Officials, whether Elected or Appointed, serve on a part-time basis. All of the Officers and/or Officials named below are expected to keep a log per New York State Retirement of their hours worked. These are submitted to the Clerk of the Board for recording.

POSITION	Hours	Days
	(Bi-Weekly)	
Asst. Dist. Atty.	40	6.667
Asst. Dist. Atty.	20	3.333
County Atty.	55	6.667
Secretary to County Atty.	39	6.500
Commissioner Of Elections (2).....	30	5.000
Asst. Co. Atty.....	60	9.999
Asst. Co. Atty.....	20	3.333

(Monthly)

Supervisors	60	10.00
Indigent Administrator..	22.50	3.750
Budget Officer	37.5	6.250
Stop DWI Coordinator..	37.5	6.250
Secretary to Asst. D.A. .	80	13.333
Board of Supervisors		
Chairman	80	13.300
Special Counsel for Labor Relations	22.50	3.000

6.3 – General Prohibition against Running for Political Office

A Federal Law, commonly known as The Hatch Act (15 USC 1501, et sq.) prohibits many, but not all, County Employees from running for an Elective Office under a partisan banner (i.e., under the label of a political party).

Should a County Department Head, Officer and/or Official become aware that an employee is seeking elective office, he shall notify the Personnel Officer forthwith. The Personnel Officer shall immediately arrange an interview with the affected employee and explain the law to him or her.

Should the County believe a violation is about to take place, the Personnel Officer and County Attorney shall immediately write to the appropriate oversight agency in Washington, D.C. In addition, if the law appears to be unclear, the County Attorney and Personnel Officer shall seek an advisory opinion from said oversight agency in Washington, D.C.

Briefly summarized, employees who are subjected to the Hatch Act restrictions may not:

- a. Be a candidate for public office in a partisan election; or
- b. Use Official Authority to interfere with election nominations or results or
- c. Coerce contributions from subordinates in support of a political party or candidate.

6.3A – Prohibition against Endorsements

No County Department Head should endorse a Political candidate for office while using their official title other than Elected Officials. Under no circumstances may any County materials be used in an endorsement.

6.4 – Union Officers

There are presently three (3) Public Employee Unions and/or Associations representing Schoharie County Employees. As per each bargaining unit contract, Union Officers are allowed to use a certain amount of county time each year to handle Union Business.

In order to insure that neither union exceeds the time limit, each department head shall report to the Personnel Officer on a monthly basis all leave time taken by union officers for union business.

In addition, each bargaining unit shall furnish in writing the list of officers and shop stewards to the Personnel Officer. This list must remain current at all times.

6.5 - Role of Board of Supervisors

The County Board of Supervisors' role and powers are that which is covered under *Article 5 Section 209 of the NYS County Law.

6.6 - Review of Departmental Policy & Procedures

The Personnel Oversight Committee along with the Personnel Officer, Labor Relations Attorney and/or County Attorney shall review all inter-Departmental Policy & Procedures prior to implementation for approval by the Board of Supervisors.

6.7 – Removal of County Documentation

All Documentation, Guides, Procedures, Files and Work produced for the County while employed by the County is the property of the County. Whether produced through the Computer or at a County Paid Training, all information is to remain within the County after you leave County employment. Nothing should be deleted, shredded or taken without permission of the Board of Supervisors or your Oversight Committee and/or Department Head. If permission is granted, all responsibility and/or liability falls upon that County Department Head, Officer and/or Official.

CHAPTER VII

County Network Use Policies

7.1 – Schoharie County Web Policy

Purpose of Policy: The purpose of this policy is to establish the official web site of Schoharie County, specify the philosophy of the County’s web presence, and establish a procedure for its development and maintenance.

Official County Web Site: Schoharie County will have one official web site. The permanent official site will be housed internally at the County and be www.schohariecounty-ny.gov. The permanent domain name, co.schoharie.ny.us, is currently and will remain the official email address.

County Web Philosophy:

Purpose of the Web Site

Communicating with the public, businesses and other governments through a municipal web site and doing business over the Internet have become an expectation of governments at all levels. A presence on the World Wide Web is an indication to visitors, citizens and businesses of the interest and support available to address their needs in a positive and efficient manner. Further, these services have proven to be effective and economical both for the user and the provider. Schoharie County will maintain a web presence for this purpose in the manner described below.

Coordination With the State

As the public often does not know what level of government supplies what services, it is important that the services offered by Schoharie County may be located easily. New York State is developing a web presence based on the concept of a “government without walls” which will also point to local government web site information. This strategy uses service or information need rather than government structure as its main organizational strategy. In order to assist the public in locating information, the County will, where appropriate coordinate the design of its website and the organization of the website information in a manner similar to that done by the State. In addition, the State may reference information on the County website and the County may reference information on the State website.

Coordination with Local Municipalities

Just as the County and the State can benefit from coordination, the County can benefit from coordination with the municipalities that make up the County. Having included municipalities on the web in the same format and style as the State, the county provides a rich and more complete view of the County. Therefore, the County will work with those county municipalities interested in having a web site including cooperative design, development and hosting.

Appropriate Site References

As a site maintained by Schoharie County, it is important that the information provided pertains to government functions. Private sector sites and sites maintained by political organizations or for political purposes are inappropriate to reference. Sites maintained by individuals shall be avoided, as there is no necessity for these sites to reflect other than their owner’s interests or to check the validity of the information provided. Sites maintained by professional organizations for which the County or municipality has oversight are appropriate.

Accessibility

It is the policy of Schoharie County that persons with disabilities have access to information – via the World Wide Web – which is equivalent to that available to persons without disabilities. Federal and State legislation requires this access. Schoharie County will follow the lead of New York State and adopt the World Wide Web Consortium (W3C) W3C Web Content Accessibility Guidelines as a means to provide optimal access to County web sites and the content therein. As a matter of policy, each department is responsible for applying the most current version of these guidelines in the design, creation and maintenance of any official web pages. Web content shall conform to level “A,” satisfying all priority one checkpoints.

Incorporation of Policy on Web Site

This policy shall be accessible on the County Web Site. The policy shall be referenced on an “About This Site” page.

Disclaimer for External Links

A disclaimer shall be displayed on the “About This Site” page referring to links to external sites. The disclaimer shall read; “The appearance of links to external sites does not constitute endorsement by Schoharie County of the referred site or the information or services contained therein. Schoharie County does not exercise any editorial control over the information you may find at the referenced location. This information is provided consistent with this site’s stated purpose as incorporated in the Schoharie County Web Policy.”

Commercial Advertising

No commercial advertising of any kind shall be permitted on the County web site.

Privacy and Security Notice

The “About This Site” page shall reference the following privacy and security notice:

“PRIVACY AND SECURITY NOTICE”

1. This site is provided as a public service by Schoharie County.
2. Information presented on this site, with the exception of the County Seal, is considered public information and may be distributed or copied. Use of appropriate byline/photo/image credits is requested.
3. For site management, information is collected for statistical purposes. This government computer system uses software programs to create summary statistics, which are used for such purposes as assessing what information is of most and least interest, determining technical design specifications, and identifying system performance or problem areas.
4. For site security purposes and to ensure that this service remains available to all users, this government computer system employs software programs to monitor network traffic to identify unauthorized attempts to upload or change information, or otherwise cause damage.
5. Except for authorized law enforcement investigations, no other attempts are made to identify individual users or their usage habits. Raw data logs are used for no other purposes and are regularly destroyed.
6. Unauthorized attempts to upload information or change information on this service are strictly prohibited and may be punishable under the law.

Site Development and Maintenance:

Overall, technical responsibility, including site and application performance and security, shall be the responsibility of Information & Technology Department.

If new websites are needed for a specific department it should be addressed with the IT Director before implementing or using.

Development Process

Web presentation may be developed by individual departments and municipalities or can be developed by Information Technology and Services staff based upon information provided by the department. Training may be provided for those interested in learning how to develop web pages. Departments and municipalities should let the Information and Technology Department know of their interest and work with the IT Director or staff while learning this process.

Review Process

Out of date information will discourage use of our site and impact on the credibility of the County and department. Within the department, a person or persons should be assigned responsibility for the regular review of information. This should include not only reviewing if the information presented by the department is current, but also all links should be checked for their existence, validity and relevance.

County Official/Municipality Approval

Information supplied over the Internet is legally treated just as any other document available to the public or attainable through discovery. It is required by this policy that the County Official or Municipality approve or establish an internal procedure for approval, prior to its being made public, the information placed on the Internet.

Frequency of Review

All pages should be reviewed monthly. Out of date information should be removed and information such as new events, new staff added, etc. The regular review process should be followed.

Acceptable Use Policy for Schoharie County:

Introduction

Schoharie County provides its users with Internet access and electronic communication services as required for the performance and fulfillment of job responsibilities and interaction with New York State's intranet (NYeNet). Schoharie County's participation in NYeNet is subject to a license agreement, which requires that certain conditions be met as detailed in the agreement available at Information Technology and Services. Further, users should read Schoharie County's computer usage policy.

Users must understand that this access is for the purpose of increasing productivity and not for non-business activities. Users must also understand that any connection to the Internet offers an opportunity for non-authorized users to view or access county information. Therefore, it is important that all connections be secure, controlled, and monitored.

To this end, users of Schoharie County's network should have no expectation of privacy while using county-owned or county-leased equipment. Information passing through or stored on county equipment can and will be monitored. Users should also understand that Schoharie County maintains the right to monitor and review Internet use and e-mail communications sent or received by users as necessary.

Permitted Use

The Internet connection and e-mail system of Schoharie County shall be used only for official purposes and shall be restricted to activities directly related to assigned duties.

Users may send and receive e-mail attachments, provided that all attachments are scanned, before they are opened, by Schoharie County's chosen antivirus software. Users should not attempt to deactivate or suspend antivirus programs installed on individual workstations.

Schoharie County requests that personal e-mail (non-work related) not be read in the office and that any personal e-mail you receive be forwarded to a non-business account to be viewed at your leisure on personal equipment. The only authorized e-mail address to be used or read at work is the e-mail address that is provided to each user by Schoharie County ITS. This procedure helps prevent

the introduction of computer viruses on individual workstations, on the local network or on NYeNet Intranet.

Prohibited Use

Users shall not use Schoharie County's Internet or e-mail services to view, download, save, receive, or send material related to or including:

- Activities not directly related to county or NYeNet missions
- Activities not related to official assignments and/or job responsibilities
- Offensive content of any kind, including pornographic material
- Promoting discrimination on the basis of race, gender, national origin, age, marital status, sexual orientation, religion or disability
- Threatening or violent behavior
- Illegal activities
- Commercial messages/private advertising of products or services
- Listening to Internet radio stations or viewing Internet video programs for entertainment purposes
- Interfering with or disrupting the network, services or equipment of others
- Messages of a religious, political or racial nature
- Gambling
- Gaming
- Sports, entertainment and job information and/or sites
- Personal financial gain
- Forwarding e-mail chain letters
- Spamming e-mail accounts from Schoharie County's e-mail services or county machines
- Material protected under copyright laws
- Unauthorized distribution of county or NYeNet data
- Opening files received from the Internet without performing a virus scan
- Tampering with your county employee user name in order to misrepresent yourself and the County to others
- Intentionally seeking information on, obtaining copies of, or modifying files or data belonging to others, unless explicit permission to do so has been obtained from the appropriate agency or individual

Responsibilities

Schoharie County network users are responsible for:

- Honoring acceptable use policies of networks accessed through Schoharie County's Internet, NYeNet and e-mail services
- Abiding by existing federal, state and local telecommunications and networking laws and regulations
- Following copyright laws regarding protected commercial software or intellectual property
- Minimizing unnecessary network traffic that may interfere with the ability of others to make effective use of Schoharie County network resources
- Not overloading networks with excessive data or wasting Schoharie County's other technical resources. Examples of items that can overload the network are listening to Internet radio stations or viewing Internet movies for entertainment.
- Notifying Schoharie County ITS of any equipment malfunctions or suspicious virus activities or notifications. Users will not make any configuration, hardware or software changes to individual workstations without authorization from Schoharie County ITS.

Violations and Enforcement

The contents of this acceptable use policy are intended to be illustrative of the range of acceptable and unacceptable uses of County computing resources and the NYeNet and required responsibilities and are not necessarily inclusive. Violations of the policy that are not promptly remedied after notification shall result in termination of County and NYeNet services for the person(s) in violation. Unauthorized use, fraudulent use, abuse of computing or network facilities, or unauthorized disclosure of information shall lead to suspension of access, loss of privileges, and, if appropriate, imposition of disciplinary sanctions and/or criminal prosecution, as permitted by Federal and/or State law.

Every employee and/or contractor has to sign a copy of the User Agreement and are to abide by the conditions and principles for use and understand that the enforcement procedures listed above may be applied if they do not do so.

7.2 – WEB 2.0 Policy

Web 2.0 or social media tools, used selectively, have the potential to enhance Schoharie County's image and communications with the public. Standards for use of social media follow and extend those specified in the County's Web Policy and in the Acceptable Use Policy.

Creation of Social Media Sites and Services

- No social media site or service shall be created without a specific business plan approved by the department head that specifies the goals for the site, the persons responsible for its maintenance, and the method of evaluating the degree to which goals are met.
- No sites are to be created without the involvement of Information Technology and Services, which shall be the registered owner on behalf of the county and have full administrative access.
- Sites shall be named consistent with the County web site and maintain a look and feel similar to the County web site in order to maintain a consistent County image.

Citizen Participation on County Social Media Sites

- Citizen participation feedback can be a useful tool in establishing priorities and developing policy.
- County media sites that allow citizen postings should clearly state their expectations of citizens participating in site discussions.
 - Appropriate language is required
 - Postings should be relevant to the topic
 - The County reserve the right to remove offensive or inappropriate postings

County Employee Social Media Participation

- Authorized County individual professional sites serve to primarily allow the employee to participate in professional discussions and maintain and extend contacts in their role with the county.
- Department Head approval is required that stated the specifics of what the employee is allowed to do, (e.g. represent the department in particular discussions) or must note that they are expressing their own opinion and not that of the department or County.
- Only county e-mail addresses may be used.
- The employee must agree to delete the account if they leave Schoharie County government or change positions within the County.
- Look and feel of professional sites should be coordinated through Information Technology and Services and reflect the County's web site.
- All postings must clearly indicate that person is an employee of Schoharie County.

- Employees may not visit their personal social media sites from County equipment.

7.3 – Establishment of Website by Outside Agency

Any County Department which desires to establish a website with an outside agency for any legitimate municipal purpose, may do so with the prior approval of the Department's Oversight Committee, the County Attorney and the County Board of Supervisors. Establishment of such website may be in addition to such website maintained or authorized by the County for County Agencies, even if also utilized by such county department.

Chapter VIII

Travel Policy & Procedures

8.1 – Schoharie County Travel Policy & Procedures

This statement establishes policies and procedures regulating all travel on County business that is not part of regular day to day job duties. [Meetings, Conferences, Workshops, etc.]

Travel or conference attendance taken prior to receiving proper authorization as described herein may be deemed unauthorized, and claims for expense reimbursement denied.

Determination that travel expenses claims for reimbursement are in compliance with established County policy and procedure is the responsibility of each Department Head [or person(s) authorized by the Department Head].

AUTHORIZATION TO TRAVEL

1. County Employees – day travel by County Employees must be authorized by respective Department Head. Overnight travel by County Employees must be authorized by Department Head. Out-of-state travel is authorized by Department Head and full Board of Supervisors, use travel form for all requests.
2. Department Heads – need approval for out-of-state travel from full Board of Supervisors. Travel form is needed.
3. Prior approval is not required on extradition cases by the District Attorney's Office, Sheriff's Department and Probation, court ordered prisoner transportation, and any other court ordered matter.

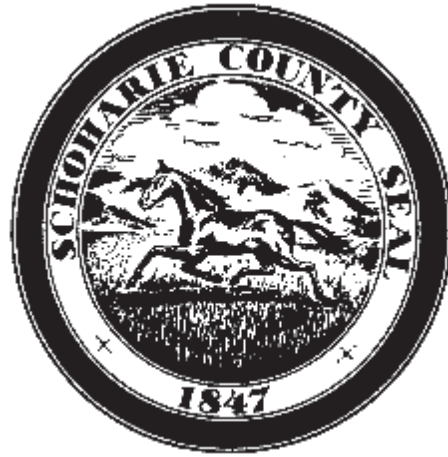
REPORTING AND PROCESSING ON RETURN FROM APPROVED TRAVEL

1. Claims over and above the original authorization require the review and approval of such charges by the Department authorizing official prior to being submitted to the auditor for payment.
2. Request for Authorization to Travel Form, for out of State travel, shall be attached to purchase order along with receipts and any other required back up information.

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Appendix A

Emergency Evacuation Plan

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EMERGENCY **EVACUATION PLAN**

August 2014



SCHOHARIE COUNTY OFFICE BUILDING
284 MAIN STREET
SCHOHARIE, NEW YORK 12157

Advisory

This plan represents general guidelines, which can be modified by emergency personnel as appropriate. This plan does not create any right or duty that is enforceable in a court of law.

THIS EMERGENCY BUILDING EVACUATION PLAN IS TO BE USED IN CONJUNCTION WITH ALL RELEVANT EXISTING DEPARTMENT/AGENCY POLICIES, RULES AND REGULATIONS.

Department Heads are responsible for familiarization and enforcement of the Emergency Evacuation Plan for their personnel.

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Section I: General Consideration and Planning Guidelines

A. Introduction

Emergencies such as fires, explosions, chemical spills, bomb threats, threats of violence and natural disasters can strike at any time without warning. Every employee should know the basic procedures to follow when an emergency happens, and should understand that each employee has an important role to play in preventing an emergency from becoming a disaster.

This plan outlines responsibilities and procedures for the evacuation of the Schoharie County Office Building located at 284 Main Street, Schoharie, NY 12157. The three-story facility may be occupied by up to approximately 200 county employees. In addition, up to 150 visitors may frequent the facility each day, with as many as 50 at any given time. One emergency stairway, located at the rear of the building; one non-emergency stairway, located at the front of the building; and one elevator serve the three stories.

B. Purpose

The purpose of this plan is to provide for the safe, rapid, and efficient emergency evacuation of all occupants of this facility. The plan establishes a concept of operations, strategy, and tactics to guide building response personnel and employees in effectuating an evacuation.

C. Scope

This evacuation plan outlines overall responsibilities in three areas:

Risk Reduction efforts focus on identifying the complexities of evacuation, and steps taken to prevent or mitigate problems that may impede evacuation.

Response involves the implementation of the plan to ensure that all building occupants have been safely, rapidly, and efficiently evacuated and accounted for.

Recovery efforts may include strategies to facilitate building reentry, and correct any apparent problems that may have been identified in an evacuation.

D. Definitions

Emergency: Fire, explosion, chemical spill, threat of violence, severe weather, bomb threat or any occurrence which could cause serious injury or death and may require the evacuation of the building or certain areas of the facility and sheltering in place.

County Safety Officer Or their designee : in the absence of the County Safety Officer, their designee shall be any representative from the Office of Emergency Services or on site Department Head.

Evacuation Floor Warden: Volunteer Team leader for an assigned floor of the County Office Building.

Area Leader: Volunteer employee who is assigned to a certain area within a department to assist the Evacuation Warden with evacuees within that area.

Evacuation Aides: Volunteer employee who is assigned certain duties to assist special need employees and visitors during the evacuation.

Evacuation: The orderly removal of all occupants from the building or parts of the building to a designated safe area.

Evacuation Team: Volunteer employees who assume certain roles and responsibilities during an emergency evacuation: Wardens, Area Leaders, Aides are examples of evacuation team members.

Pre-Designated Assembly Area: The designated area where employees will meet to facilitate accounting of employees (headcount).

Shelter In-Place: Sheltering in place means selecting an interior room or rooms within the building, or a room with no or few windows and taking refuge there.

E. Planning Assumptions

1. Emergency evacuation does not apply in all emergency situations.
2. Some emergencies may require evacuation, while others may require sheltering in-place.
3. Some emergencies may require limited internal evacuation, such as from one floor or multiple floors, to another part of the building.
4. The Schoharie County Office Building has been properly inspected and found to be in accordance with applicable state and local fire prevention and building codes.
5. Certain identified staff will be called upon to ensure the safe, rapid, and efficient coordination of evacuation, and to ensure that no occupants have been left behind.
6. The building management has identified known potential hazards within the building.
7. The facility may have persons with special needs (e.g., wheelchair-bound, hearing/sight-impaired) that will require special provisions to be safely evacuated.
8. There may be a disruption of power to the building or other damage to the building, rendering elevators inoperable, and necessitating the use of emergency generators and battery-powered lighting.
9. As a result of an emergency, occupants in the building may be injured and require medical treatment.
10. Elevators are not to be utilized during an evacuation.

F. Concept of Operations

1. Upon receipt of an emergency notification, the County Safety Officer or their designee will make the determination to implement any and all protective actions, including evacuation.
2. If appropriate, the County Safety Officer or their designee will order the evacuation to commence, and will communicate this through the fire alarm system and to the Evacuation Floor Wardens.
3. Each Evacuation Floor Warden will facilitate the evacuation through his/her responsible floor, and coordinate with other Evacuation Wardens, Area Leaders and Evacuation Aides assigned to each floor, and other emergency response personnel as appropriate.
4. Building occupants will follow the evacuation order, and proceed directly to the pre-designated Assembly Area.

5. Upon completion of each floor evacuation, Evacuation Wardens will inform the County Safety Officer or their designee of completion, and all will leave the building and position themselves at their assigned location.
6. Upon reaching the Assembly Area, Area Leaders will conduct a roll call of their staff, identify that all have been accounted for, or any missing, and report any missing to the Evacuation Wardens.
7. The County Safety Officer or their designee will serve as the liaison to the emergency response personnel.
8. All staff will remain in the Assembly Area until otherwise directed by the County Safety Officer or their designee.
9. Once emergency responders deem that the evacuation can be terminated and the building is safe to re-enter, all staff will be allowed to re-enter their work area only after being directed to do so by the County Safety Officer or their designee. The re-entry will be coordinated by the Evacuations Wardens, Area Leaders and Emergency Aids.
10. For certain emergencies, of limited scope and duration, internal evacuation may be appropriate, where only those impacted by the emergency are directed to evacuate from one part of the building to another part of the building.

F. Plan Maintenance and Updating.

1. The County Safety Officer or their designee is responsible for maintaining and updating this plan.
2. This plan shall be reviewed and updated at least annually, with revised pages distributed by February 1st of each year.

Section II: Risk Reduction

A. Agency/Building Policy

1. Each department will develop a means to identify attendance of employees and visitors.
2. During an evacuation this attendance roster will be used for role call (headcount) purposes at the Assembly Areas.

B. Identification and Analysis of Potential Hazards.

1. The County Safety Officer or their designee has identified the known hazards in the building and has communicated such hazards to all Department Heads.
2. The County Safety Officer or their designee has taken every effort to mitigate such hazards in accordance with applicable state and local fire codes.
3. The County Safety Officer or their designee, in cooperation with other emergency responders, monitors other potential emergency warnings and situations.

C. Continuity of Emergency Operations

1. Primary evacuation staff have been identified.
2. All primary evacuation staff have identified replacements or designees for their positions.
3. In the event that the primary evacuation staff are out of the building for any reason, primary staff will notify their designee.

D. Building Maintenance

1. Building maintenance staff will ensure that means of egress, including all stairways, are clear, dry, well lit, and free from clutter and garbage, and will notify the County Safety Officer of any obvious problems.
2. Building maintenance will ensure that the emergency lighting/back-up generators, fire suppression and fire alarm systems are in proper working condition and have been inspected as per the relevant standard or regulation.
3. Building maintenance in cooperation with the County Safety Officer or their designee will verify the location of the building alarm activation, by way of the fire alarm panel.
4. At no time will building maintenance silence an alarm without permission from the County Safety Officer or their designee. In the absence of the County Safety Officer or their designee, maintenance may silence the alarm, after verification of the false alarm.
5. Once Emergency Response Personnel have been dispatched, only the County Safety Officer or their designee may cancel the responding agency.

E. Training/Exercising

1. Every employee and all visitors will be orientated in the emergency procedures for the building, and will be required to participate in any drill.
2. A floor plan indicating the evacuation routes will be posted in each room throughout each floor and made available to each employee.
3. Each employee will be given the names of their floor evacuation staff in his/her assigned work area. Copies of the Emergency Evacuation Plan will be made readily available to each employee.
4. New employees will receive their initial training on evacuation procedures, and then will receive refresher training.
5. Designated evacuation response staff (e.g., Evacuation Wardens, Area Leaders, and Evacuation Aides) have been trained in their emergency positions, and will receive refresher training on a quarterly basis.
6. Drills will be held at least **semi-annually**, and will require the participation of all building occupants and may include local emergency responders.

Section III: Response

A. Alert and Notification

1. The initial notification of an emergency situation may come from a variety of means:
 - a. From within the facility
 - Visual, from an employee or visitor.
 - Internal fire alarm, radio system.
 - b. From outside the facility via
 - NOAA weather radio
 - Emergency Alert System (EAS)
 - Local Emergency Official
 - News Media
 - Electronic Means (phone, e-mail, fax)

2. Any and all staff who receive such information will transmit any such notification to the 9-9-911 communication center.
3. The Evacuation Wardens will notify the County Safety Officer or their designee of any emergency conditions.
4. Upon notification of an emergency, if appropriate, the County Safety Officer or their designee will activate the building alarm and notify the Evacuation Wardens, via radio or telephone.
5. Each Evacuation Warden will alert the other evacuation team members and initiate the evacuation on his/her respective floor.

B. Evacuation Policy/Guidelines

1. All building occupants will evacuate as follows:
 - a. All occupants will evacuate on the order to do so.
 - b. Occupants are to proceed to the exit assigned by means of the floor plan and per the instruction of their individual department evacuation guidelines.
 - c. If an employee is not at his/her work area at the time of the evacuation order, he/she is not to return to their work area to retrieve personal possessions or belongings.
 - d. Evacuees will not bring any food, beverages, or large objects with them due to the potential that such items may hinder the evacuation.
 - e. All evacuees will proceed in a single file, in an orderly manner.
 - f. Elevators will not be used to evacuate except as outlined in this plan.
 - g. All evacuees will exit the building, and immediately proceed to the designated Assembly Area.
 - h. Occupants are not allowed to re-enter the facility until deemed appropriate by the County Safety Officer or their designee.
2. Assembly Area
 - a. The Schoharie County Office Building has three designated **Assembly Areas** for all occupants. The three Assembly Areas are located as follows:

Assembly Area A is located in the employee parking area between the Daughter of the American Revolution (DAR) building and Spring Street.

Assembly Area B is located at the large public/employee parking area across Spring Street.

Assembly Area C is located outside the County Court House in the large public/employee parking lot directly behind the Parrot House.
 - b. Upon arrival at the assembly area, evacuees will organize with their co-workers in their assigned department or section.
 - c. Floor Wardens are to determine if anyone from their respective area is missing.
 - d. The Floor Wardens will communicate anyone missing from their respective areas to the Evacuation Wardens, and successively to the County Safety Officer or their designee and emergency response personnel, as appropriate.

3. Internal Evacuation

- a. In the event that the emergency requires the evacuation of a limited part of the building, those affected will be advised to temporarily move to another, specified part of the building.
- b. At this “in-building assembly area”, the evacuees will be advised of further actions to take.
- c. Internal evacuation will only be used if there is absolutely no chance that the emergency might spread to other parts of the building, and that by doing so, the safety of the evacuees and other building occupants will not be jeopardized, as determined by the responding emergency services.

C. Assignment of Roles and Responsibilities

1. The Role of the County Safety Officer or their designee.

- a. Receives/disseminates the initial notification of an emergency situation.
- b. Orders the evacuation of the facility.
- c. Responsible for organizing evacuation team members.
- d. Appoints personnel to the evacuation team and fills vacant positions.
- e. Maintains an updated roster of all Evacuation Wardens, Area Leaders and Evacuation Aides and alternates.
- f. Serves as the facility liaison with the local emergency response agencies.
- g. Determines from Evacuation Wardens if all the evacuees have safely exited the facility.
- h. Responsible for emergency coordination and reporting of any potential emergency condition.
- i. Issues the order to re-enter the facility.
- j. Trains all employees in evacuation procedures.
- k. Supervises the activity and training of all Evacuation Wardens, Area Leaders and Evacuation Aides in their duties and responsibilities.
- l. Ensures that evacuation team personnel have appropriate attire and equipment.
- m. Plans/coordinates the training of Safety Chairs for the evacuation of persons with special needs.

2. The Role of the Evacuation Wardens

- a. Responsible for the orderly evacuation of all personnel on their assigned floor.
- b. Ascertains that persons with special needs are being assisted.
- c. Responsible for the control of people on their floor.
- d. Determines that their assigned floor is clear of occupants and provides this information to the County Safety Officer or their designee.
- e. Coordinates with Area Leaders and Evacuation Aides that their assigned areas or assigned special needs person(s) have been safely evacuated.
- f. Responsible for an assigned exit and assists in the orderly evacuation of occupants.
- g. Checks all common rooms including bathrooms, conference rooms, reception areas, file rooms, store rooms and remote areas, closing but not locking all doors behind them.
- h. Supervises and monitors evacuation flow while remaining calm, and encouraging a calm and orderly evacuation.

- i. Directs occupants to alternate exit if the primary assigned exit is not usable.

3. The Role of **Area Leaders**

- a. Ensures that all occupants of his/her assigned area are evacuated and arrive at the designated Assembly Area.
- b. Responsible for the control of people in his/her assigned area.
- c. Remains with group throughout the evacuation period and leads them to the predetermined Assembly Area.
- d. Reports to the Evacuation Warden(s) for their floor when their area is clear or if any problems were encountered.
- e. Instructs building occupants to form single file lines into stairway and directs occupants to exit along the right side of stairway.
- f. Ensures that evacuees do not bring any food, beverages, or large objects with them due to the potential that such items may hinder the evacuation.
- g. Reports to the Evacuation Wardens.

4. The Role of the **Evacuation Aide:**

Among the occupants of the Schoharie County Office Building, some of the occupants (employee and visitors) may require assistance to evacuate. This could include mobility-impaired and sight-impaired individuals as well as individuals with medical conditions, people with special needs, and the frail elderly.

- a. At the initiation of the evacuation, Evacuation Aides provide assistance and escort to persons with special needs, and will ensure that all persons needing assistance convene on each floor's stairwell landing.
- b. To ensure that both the special needs people requiring assistance and other people evacuating all evacuate in the shortest possible time, the evacuation of persons needing assistance should begin after the preponderance of the evacuating people have passed the stairwell landing area.
- c. For mobility impaired, an evacuation chair is available in the building and can be used. Evacuation Aides have access to the chair and have been trained in it's use.

Section IV: Recovery/Re-Entry

1. Re-Entry

- a. The facility will remain evacuated until the emergency response personnel has determined that it is safe to re-enter.
- b. Evacuees will be told they may re-enter from the County Safety Officer or their designee **ONLY**. The order to re-enter will be disseminated to the Evacuation Wardens and other emergency evacuation team members.
- c. County employees will be allowed to re-enter the building first along with any visitor that they accompanied during the evacuation.
- d. Evacuees will re-enter the facility utilizing stairwells as well as elevators.
- e. If, upon return, any occupant discovers any personal belongings missing, they are instructed to report such findings to their immediate supervisor/department head.

2. Mitigation into the Re-Entry Process

Management wants to know the concerns of all employees, and strongly encourages any feedback from the evacuation process. The purpose of the feedback is to identify ways to improve the evacuation process.

- a. All personnel are encouraged to report any problems they may have experienced during the evacuation process. Additionally, personnel are encouraged to report any malfunctioning equipment, devices, or building construction in an effort to repair such equipment. Report may be made to the County Safety Officer.
- b. After each drill or evacuation event, emergency staff will be asked to attend a critique immediately following the drill or event. The critique will allow for some of the above issues to be identified, and to address any other issues that may arise. A draft of the critique will be produced, and will be available for all employees to view upon request.
- c. Building maintenance staff will conduct a post-drill/event inspection of the facility, and address any mechanical issues that may have resulted from the drill/event or critique.

EMERGENCY **EVACUATION PLAN**

August 2014



SCHOHARIE COUNTY ANNEX
113 PARK PLACE
SCHOHARIE, NEW YORK 12157

Advisory

This plan represents general guidelines, which can be modified by emergency personnel as appropriate. This plan does not create any right or duty that is enforceable in a court of law.

THIS EMERGENCY BUILDING EVACUATION PLAN IS TO BE USED IN CONJUNCTION WITH ALL RELEVANT EXISTING DEPARTMENT/AGENCY POLICIES, RULES AND REGULATIONS.

Department Heads are responsible for familiarization and enforcement of the Emergency Evacuation Plan for their personnel.

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Section I: General Consideration and Planning Guidelines

A. Introduction

Emergencies such as fires, explosions, chemical spills, bomb threats, threats of violence and natural disasters can strike at any time without warning. Every employee should know the basic procedures to follow when an emergency happens, and should understand that each employee has an important role to play in preventing an emergency from becoming a disaster.

This plan outlines responsibilities and procedures for the evacuation of the **Schoharie County Annex** located at **113 Park Place, Schoharie, NY 12157**. The one story facility may be occupied by up to approximately 70 county employees. In addition, up to 80 visitors may frequent the facility each day, with as many as 50 at any given time. There are 4 emergency doors located to the rear of the building, 2 emergency doors on the Office of the Aging side of the building and 1 emergency door on the front side of the building along with the Main entrance.

B. Purpose

The purpose of this plan is to provide for the safe, rapid, and efficient emergency evacuation of all occupants of this facility. The plan establishes a concept of operations, strategy, and tactics to guide building response personnel and employees in effectuating an evacuation.

C. Scope

This evacuation plan outlines overall responsibilities in three areas:

Risk Reduction efforts focus on identifying the complexities of evacuation, and steps taken to prevent or mitigate problems that may impede evacuation.

Response involves the implementation of the plan to ensure that all building occupants have been safely, rapidly, and efficiently evacuated and accounted for.

Recovery efforts may include strategies to facilitate building reentry, and correct any apparent problems that may have been identified in an evacuation.

D. Definitions

Emergency: Fire, explosion, chemical spill, threat of violence, severe weather, bomb threat or any occurrence which could cause serious injury or death and may require the evacuation of the building or certain areas of the facility and sheltering in place.

County Safety Officer Or their designee : in the absence of the County Safety Officer, their designee shall be any representative from the Office of Emergency Services or on site Department Head.

Evacuation Warden: Volunteer Team leader for an assigned floor of the County Annex.

Area Leader: Volunteer employee who is assigned to a certain area within a department to assist the Evacuation Warden with evacuees within that area.

Evacuation Aides: Volunteer employee who is assigned certain duties to assist special need employees and visitors during the evacuation.

Evacuation: The orderly removal of all occupants from the building or parts of the building to a designated safe area.

Evacuation Team: Volunteer employees who assume certain roles and responsibilities during an emergency evacuation: Wardens, Area Leaders, Aides are examples of evacuation team members.

Pre-Designated Assembly Area: The designated area where employees will meet to facilitate accounting of employees (headcount).

Shelter In-Place: Sheltering in place means selecting an interior room or rooms within the building, or a room with no or few windows and taking refuge there.

E. Planning Assumptions

1. Emergency evacuation does not apply in all emergency situations.
2. Some emergencies may require evacuation, while others may require sheltering in-place.
3. Some emergencies may require limited internal evacuation, such as from one department or to another part of the building.
4. The Schoharie County Annex has been properly inspected and found to be in accordance with applicable state and local fire prevention and building codes.
5. Certain identified staff will be called upon to ensure the safe, rapid, and efficient coordination of evacuation, and to ensure that no occupants have been left behind.
6. The building management has identified known potential hazards within the building.
7. The facility may have persons with special needs (e.g., wheelchair-bound, hearing/sight-impaired) that will require special provisions to be safely evacuated.
8. There may be a disruption of power to the building or other damage to the building, rendering elevators inoperable, and necessitating the use of emergency generators and battery-powered lighting.
9. As a result of an emergency, occupants in the building may be injured and require medical treatment.

F. Concept of Operations

1. Upon receipt of an emergency notification, the County Safety Officer or their designee will make the determination to implement any and all protective actions, including evacuation.
2. If appropriate, the County Safety Officer or their designee will order the evacuation to commence, and will communicate this through the fire alarm system and to the Evacuation Wardens.
3. Each Evacuation Floor Warden will facilitate the evacuation through his/her responsible area, and coordinate with other Evacuation Wardens, Area Leaders and Evacuation Aides assigned to each area, and other emergency response personnel as appropriate.

4. Building occupants will follow the evacuation order, and proceed directly to the pre-designated Assembly Area.
5. Upon completion of evacuation from each area, Evacuation Wardens will inform the County Safety Officer or their designee of completion, and all will leave the building and position themselves at their assigned location.
6. Upon reaching the Assembly Area, Area Leaders will conduct a roll call of their staff, identify that all have been accounted for, or any missing, and report any missing to the Evacuation Wardens.
7. The County Safety Officer or their designee will serve as the liaison to the emergency response personnel.
8. All staff will remain in the Assembly Area until otherwise directed by the County Safety Officer or their designee.
9. Once emergency responders deem that the evacuation can be terminated and the building is safe to re-enter, all staff will be allowed to re-enter their work area only after being directed to do so by the County Safety Officer or their designee. The re-entry will be coordinated by the Evacuations Wardens, Area Leaders and Emergency Aids.
10. For certain emergencies, of limited scope and duration, internal evacuation may be appropriate, where only those impacted by the emergency are directed to evacuate from one part of the building to another part of the building.

F. Plan Maintenance and Updating.

1. The County Safety Officer or their designee is responsible for maintaining and updating this plan.
2. This plan shall be reviewed and updated at least annually, with revised pages distributed by February 1st of each year.

Section II: Risk Reduction

A. Agency/Building Policy

1. Each department will develop a means to identify attendance of employees and visitors.
2. During an evacuation this attendance roster will be used for role call (headcount) purposes at the Assembly Areas.

B. Identification and Analysis of Potential Hazards.

1. The County Safety Officer or their designee has identified the known hazards in the building and has communicated such hazards to all Department Heads.
2. The County Safety Officer or their designee has taken every effort to mitigate such hazards in accordance with applicable state and local fire codes.
3. The County Safety Officer or their designee, in cooperation with other emergency responders, monitors other potential emergency warnings and situations.

C. Continuity of Emergency Operations

1. Primary evacuation staff has been identified.
2. All primary evacuation staff has identified replacements or designees for their positions.

3. In the event that the primary evacuation staff is out of the building for any reason, primary staff will notify their designee.

D. **Building Maintenance**

1. Building maintenance staff will ensure that means of egress, including all stairways, are clear, dry, well lit, and free from clutter and garbage, and will notify the County Safety Officer of any obvious problems.
2. Building maintenance will ensure that the emergency lighting/back-up generators, fire suppression and fire alarm systems are in proper working condition and have been inspected as per the relevant standard or regulation.
3. Building maintenance in cooperation with the County Safety Officer or their designee will verify the location of the building alarm activation, by way of the fire alarm panel.
4. At no time will building maintenance silence an alarm without permission from the County Safety Officer or their designee. In the absence of the County Safety Officer or their designee, maintenance may silence the alarm, after verification of the false alarm.
5. Once Emergency Response Personnel have been dispatched, only the County Safety Officer or their designee may cancel the responding agency.

E. **Training/Exercising**

1. Every employee and all visitors will be orientated in the emergency procedures for the building, and will be required to participate in any drill.
2. A floor plan indicating the evacuation routes will be posted in each room throughout each floor and made available to each employee.
3. Each employee will be given the names of their floor evacuation staff in his/her assigned work area. Copies of the Emergency Evacuation Plan will be made readily available to each employee.
4. New employees will receive their initial training on evacuation procedures, and then will receive refresher training.
5. Designated evacuation response staff (e.g., Evacuation Wardens, Area Leaders, and Evacuation Aides) has been trained in their emergency positions, and will receive refresher training on a quarterly basis.
6. Drills will be held at least **semi-annually**, and will require the participation of **all building occupants** and may include local emergency responders.

Section III: **Response**

A. **Alert and Notification**

1. The initial notification of an emergency situation may come from a variety of means:
 - 1.a. From within the facility
 - Visual, from an employee or visitor.
 - Internal fire alarm, radio system.
 - 1.b. From outside the facility via
 - NOAA weather radio
 - Emergency Alert System (EAS)

Local Emergency Official
News Media
Electronic Means (phone, e-mail, fax)

2. Any and all staff who receives such information will transmit any such notification to the 9-911 communication center.
3. The Evacuation Wardens will notify the County Safety Officer or their designee of any emergency conditions.
4. Upon notification of an emergency, if appropriate, the County Safety Officer or their designee will activate the building alarm and notify the Evacuation Wardens, via radio or telephone.
5. Each Evacuation Warden will alert the other evacuation team members and initiate the evacuation on his/her respective floor.

B. Evacuation Policy/Guidelines

1. All building occupants will evacuate as follows:
 - 1.a. All occupants will evacuate on the order to do so.
 - 1.b. Occupants are to proceed to the exit assigned by means of the floor plan and per the instruction of their individual department evacuation guidelines.
 - 1.c. If an employee is not at his/her work area at the time of the evacuation order, he/she is not to return to their work area to retrieve personal possessions or belongings.
 - 1.d. Evacuees will not bring any food, beverages, or large objects with them due to the potential that such items may hinder the evacuation.
 - 1.e. All evacuees will proceed in a single file, in an orderly manner.
 - 1.f. All evacuees will exit the building, and immediately proceed to the designated Assembly Area.
 - 1.g. Occupants are not allowed to re-enter the facility until deemed appropriate by the County Safety Officer or their designee.
2. Assembly Area
 - 2.a. The Schoharie County Annex has two designated **Assembly Areas** for all occupants. The two Assembly Areas are located as follows:

Assembly Area A is located in @ the northwest corner of the building adjacent to the Office of the Aging.

Assembly Area B is located east of the building behind the Mobil Mart.
 - 2.b. Upon arrival at the assembly area, evacuees will organize with their co-workers in their assigned department or section.
 - 2.c. Wardens are to determine if anyone from their respective area is missing.

- 2.d. The Wardens will communicate anyone missing from their respective areas to the Evacuation Wardens, and successively to the County Safety Officer or their designee and emergency response personnel, as appropriate.

3. Internal Evacuation

- 3.a. In the event that the emergency requires the evacuation of a limited part of the building, those affected will be advised to temporarily move to another, specified part of the building.
- 3.b. At this “in-building assembly area”, the evacuees will be advised of further actions to take.
- 3.c. Internal evacuation will only be used if there is absolutely no chance that the emergency might spread to other parts of the building, and that by doing so, the safety of the evacuees and other building occupants will not be jeopardized, as determined by the responding emergency services.

C. Assignment of Roles and Responsibilities

1. The Role of the County Safety Officer or their designee.

- a. Receives/disseminates the initial notification of an emergency situation.
- b. Orders the evacuation of the facility.
- c. Responsible for organizing evacuation team members.
- d. Appoints personnel to the evacuation team and fills vacant positions.
- e. Maintains an updated roster of all Evacuation Wardens, Area Leaders and Evacuation Aides and alternates.
- f. Serves as the facility liaison with the local emergency response agencies.
- g. Determines from Evacuation Wardens if all the evacuees have safely exited the facility.
- h. Responsible for emergency coordination and reporting of any potential emergency condition.
- i. Issues the order to re-enter the facility.
- j. Trains all employees in evacuation procedures.
- k. Supervises the activity and training of all Evacuation Wardens, Area Leaders and Evacuation Aides in their duties and responsibilities.
- l. Ensures that evacuation team personnel have appropriate attire and equipment.
- m. Plans/coordinates the training of Wheel Chairs for the evacuation of persons with special needs.

2. The Role of the Evacuation Wardens

- a. Responsible for the orderly evacuation of all personnel on their assigned floor.
- b. Ascertains that persons with special needs are being assisted.
- c. Responsible for the control of people on their floor.
- d. Determines that their assigned floor is clear of occupants and provides this information to the County Safety Officer or their designee.

- e. Coordinates with Area Leaders and Evacuation Aides that their assigned areas or assigned special needs person(s) have been safely evacuated.
- f. Responsible for an assigned exit and assists in the orderly evacuation of occupants.
- g. Checks all common rooms including bathrooms, conference rooms, reception areas, file rooms, store rooms and remote areas, closing but not locking all doors behind them.
- h. Supervises and monitors evacuation flow while remaining calm, and encouraging a calm and orderly evacuation.
- i. Directs occupants to alternate exit if the primary assigned exit is not usable.

3. The Role of **Area Leaders**

- a. Ensures that all occupants of his/her assigned area are evacuated and arrive at the designated Assembly Area.
- b. Responsible for the control of people in his/her assigned area.
- c. Remains with group throughout the evacuation period and leads them to the predetermined Assembly Area.
- d. Reports to the Evacuation Warden(s) for their floor when their area is clear or if any problems were encountered.
- e. Instructs building occupants to form single file lines into stairway and directs occupants to exit along the right side of stairway.
- f. Ensures that evacuees do not bring any food, beverages, or large objects with them due to the potential that such items may hinder the evacuation.
- g. Reports to the Evacuation Wardens.

4. The Role of the **Evacuation Aide:**

Among the occupants of the Schoharie County Annex, some of the occupants (employee and visitors) may require assistance to evacuate. This could include mobility-impaired and sight-impaired individuals as well as individuals with medical conditions, people with special needs, and the frail elderly.

- a. At the initiation of the evacuation, Evacuation Aides provide assistance and escort to persons with special needs, and will ensure that all persons needing assistance convene on each floor's stairwell landing.
- b. To ensure that both the special needs people requiring assistance and other people evacuating all evacuate in the shortest possible time, the evacuation of persons needing assistance should begin after the preponderance of the evacuating people have passed the stairwell landing area.
- c. For mobility impaired, an evacuation chair is available in the building and can be used. Evacuation Aides have access to the chair and have been trained in it's use.

Section IV: Recovery/Re-Entry

1. Re-Entry

- a. The facility will remain evacuated until the emergency response personnel have determined that it is safe to re-enter.

- b. Evacuees will be told they may re-enter from the County Safety Officer or their designee **ONLY**. The order to re-enter will be disseminated to the Evacuation Wardens and other emergency evacuation team members.
- c. County employees will be allowed to re-enter the building first along with any visitor that they accompanied during the evacuation.

Evacuees will re-enter the facility utilizing the facility main entrance.

- e. If, upon return, any occupant discovers any personal belongings missing, they are instructed to report such findings to their immediate supervisor/department head.

2. Mitigation into the Re-Entry Process

Management wants to know the concerns of all employees, and strongly encourages any feedback from the evacuation process. The purpose of the feedback is to identify ways to improve the evacuation process.

- a. All personnel are encouraged to report any problems they may have experienced during the evacuation process. Additionally, personnel are encouraged to report any malfunctioning equipment, devices, or building construction in an effort to repair such equipment. Report may be made to the County Safety Officer.
- b. After each drill or evacuation event, wardens will be asked to attend a critique following the drill or event. The critique will allow for some of the above issues to be identified, and to address any other issues that may arise. A draft of the critique will be produced, and will be available for all employees to view upon request.
- c. Building maintenance staff will conduct a post-drill/event inspection of the facility, and address any mechanical issues that may have resulted from the drill/event or critique.

EMERGENCY **EVACUATION PLAN**

August 2014



SCHOHARIE COUNTY EMERGENCY SERVICES OFFICE

2783 STATE ROUTE 7
COBLESKILL, NEW YORK 12043

Advisory

This plan represents general guidelines, which can be modified by emergency personnel as appropriate. This plan does not create any right or duty that is enforceable in a court of law.

***THIS EMERGENCY BUILDING EVACUATION PLAN IS TO BE USED IN
CONJUNCTION WITH ALL RELEVANT EXISTING DEPARTMENT/AGENCY
POLICIES, RULES AND REGULATIONS.***

**Department Heads are responsible for familiarization and enforcement of the
Emergency Evacuation Plan for their personnel.**

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Section I: General Consideration and Planning Guidelines

A. Introduction

Emergencies such as fires, explosions, chemical spills, bomb threats, threats of violence and natural disasters can strike at any time without warning. Every employee should know the basic procedures to follow when an emergency happens, and should understand that each employee has an important role to play in preventing an emergency from becoming a disaster.

This plan outlines responsibilities and procedures for the evacuation of the Schoharie County Annex located at **2783 State Route 7 Cobleskill NY 12043**. The one story facility may be occupied by up to approximately 10 county employees. In addition, up to 30 visitors may frequent the facility intermittently, with as many as 50 during an event. There is 1 emergency door located to the front of the building, in the **Emergency Operations Center**. There are a set of emergency doors at the main entrance to the **Emergency Services Office** at the middle of the building. There is also a personnel egress door in the garage area of the building.

B. Purpose

The purpose of this plan is to provide for the safe, rapid, and efficient emergency evacuation of all occupants of this facility. The plan establishes a concept of operations, strategy, and tactics to guide building response personnel and employees in effectuating an evacuation.

C. Scope

This evacuation plan outlines overall responsibilities in three areas:

Risk Reduction efforts focus on identifying the complexities of evacuation, and steps taken to prevent or mitigate problems that may impede evacuation.

Response involves the implementation of the plan to ensure that all building occupants have been safely, rapidly, and efficiently evacuated and accounted for.

Recovery efforts may include strategies to facilitate building reentry, and correct any apparent problems that may have been identified in an evacuation.

D. Definitions

Emergency: Fire, explosion, chemical spill, threat of violence, severe weather, bomb threat or any occurrence which could cause serious injury or death and may require the evacuation of the building or certain areas of the facility and sheltering in place.

County Safety Officer Or their designee : in the absence of the County Safety Officer, their designee shall be any representative from the Office of Emergency Services or on site Department Head.

Evacuation Warden: Volunteer Team leader for an assigned floor of the County Annex.

Area Leader: Volunteer employee who is assigned to a certain area within a department to assist the Evacuation Warden with evacuees within that area.

Evacuation Aides: Volunteer employee who is assigned certain duties to assist special need employees and visitors during the evacuation.

Evacuation: The orderly removal of all occupants from the building or parts of the building to a designated safe area.

Evacuation Team: Volunteer employees who assume certain roles and responsibilities during an emergency evacuation: Wardens, Area Leaders, Aides are examples of evacuation team members.

Pre-Designated Assembly Area: The designated area where employees will meet to facilitate accounting of employees (headcount).

Shelter In-Place: Sheltering in place means selecting an interior room or rooms within the building, or a room with no or few windows and taking refuge there.

E. Planning Assumptions

1. Emergency evacuation does not apply in all emergency situations.
2. Some emergencies may require evacuation, while others may require sheltering in-place.
3. Some emergencies may require limited internal evacuation, such as from one department or to another part of the building.
4. The **Schoharie County Emergency Services Office** has been properly inspected and found to be in accordance with applicable state and local fire prevention and building codes.
5. Certain identified staff will be called upon to ensure the safe, rapid, and efficient coordination of evacuation, and to ensure that no occupants have been left behind.
6. The building management has identified known potential hazards within the building.
7. The facility may have persons with special needs (e.g., wheelchair-bound, hearing/sight-impaired) that will require special provisions to be safely evacuated.
8. There may be a disruption of power to the building or other damage to the building, rendering elevators inoperable, and necessitating the use of emergency generators and battery-powered lighting.
9. As a result of an emergency, occupants in the building may be injured and require medical treatment.

F. Concept of Operations

1. Upon receipt of an emergency notification, the County Safety Officer or their designee will make the determination to implement any and all protective actions, including evacuation.
2. If appropriate, the County Safety Officer or their designee will order the evacuation to commence, and will communicate this through the fire alarm system and to the Evacuation Wardens.
3. Each Evacuation Floor Warden will facilitate the evacuation through his/her responsible area, and coordinate with other Evacuation Wardens, Area Leaders and Evacuation Aides assigned to each area, and other emergency response personnel as appropriate.

4. Building occupants will follow the evacuation order, and proceed directly to the pre-designated Assembly Area.
5. Upon completion of evacuation from each area, Evacuation Wardens will inform the County Safety Officer or their designee of completion, and all will leave the building and position themselves at their assigned location.
6. Upon reaching the Assembly Area, Area Leaders will conduct a roll call of their staff, identify that all have been accounted for, or any missing, and report any missing to the Evacuation Wardens.
7. The County Safety Officer or their designee will serve as the liaison to the emergency response personnel.
8. All staff will remain in the Assembly Area until otherwise directed by the County Safety Officer or their designee.
9. Once emergency responders deem that the evacuation can be terminated and the building is safe to re-enter, all staff will be allowed to re-enter their work area only after being directed to do so by the County Safety Officer or their designee. The re-entry will be coordinated by the Evacuations Wardens, Area Leaders and Emergency Aids.
10. For certain emergencies, of limited scope and duration, internal evacuation may be appropriate, where only those impacted by the emergency are directed to evacuate from one part of the building to another part of the building.

F. Plan Maintenance and Updating.

1. The County Safety Officer or their designee is responsible for maintaining and updating this plan.
2. This plan shall be reviewed and updated at least annually, with revised pages distributed by February 1st of each year.

Section II: Risk Reduction

A. Agency/Building Policy

1. Each department will develop a means to identify attendance of employees and visitors.
2. During an evacuation this attendance roster will be used for role call (headcount) purposes at the Assembly Areas.

B. Identification and Analysis of Potential Hazards.

1. The County Safety Officer or their designee has identified the known hazards in the building and has communicated such hazards to all Department Heads.
2. The County Safety Officer or their designee has taken every effort to mitigate such hazards in accordance with applicable state and local fire codes.
3. The County Safety Officer or their designee, in cooperation with other emergency responders, monitors other potential emergency warnings and situations.

C. Continuity of Emergency Operations

1. Primary evacuation staff has been identified.
2. All primary evacuation staff has identified replacements or designees for their positions.

3. In the event that the primary evacuation staff is out of the building for any reason, primary staff will notify their designee.

D. **Building Maintenance**

1. Building maintenance staff will ensure that means of egress, including all stairways, are clear, dry, well lit, and free from clutter and garbage, and will notify the County Safety Officer of any obvious problems.
2. Building maintenance will ensure that the emergency lighting/back-up generators, fire suppression and fire alarm systems are in proper working condition and have been inspected as per the relevant standard or regulation.
3. Building maintenance in cooperation with the County Safety Officer or their designee will verify the location of the building alarm activation, by way of the fire alarm panel.
4. At no time will building maintenance silence an alarm without permission from the County Safety Officer or their designee. In the absence of the County Safety Officer or their designee, maintenance may silence the alarm, after verification of the false alarm.
5. Once Emergency Response Personnel have been dispatched, only the County Safety Officer or their designee may cancel the responding agency.

E. **Training/Exercising**

1. Every employee and all visitors will be orientated in the emergency procedures for the building, and will be required to participate in any drill.
2. A floor plan indicating the evacuation routes will be posted in each room throughout each floor and made available to each employee.
3. Each employee will be given the names of their floor evacuation staff in his/her assigned work area. Copies of the Emergency Evacuation Plan will be made readily available to each employee.
4. New employees will receive their initial training on evacuation procedures, and then will receive refresher training.
5. Designated evacuation response staff (e.g., Evacuation Wardens, Area Leaders, and Evacuation Aides) has been trained in their emergency positions, and will receive refresher training on a quarterly basis.
6. Drills will be held at least **semi-annually**, and will require the participation of **all building occupants** and may include local emergency responders.

Section III: **Response**

A. **Alert and Notification**

1. The initial notification of an emergency situation may come from a variety of means:
 - 1.a. From within the facility
 - Visual, from an employee or visitor.
 - By voice from employees in the facility
 - 1.b. From outside the facility via
 - NOAA weather radio
 - Emergency Alert System (EAS)

Local Emergency Official
News Media
Electronic Means (phone, e-mail, fax)

2. Any and all staff who receives such information will transmit any such notification to the 911 communication center.
3. The Evacuation Wardens will notify the County Safety Officer or their designee of any emergency conditions.
4. Upon notification of an emergency, if appropriate, the County Safety Officer or their designee will activate the building alarm and notify the Evacuation Wardens, via radio or telephone.
5. Each Evacuation Warden will alert the other evacuation team members and initiate the evacuation on his/her respective floor.

B. Evacuation Policy/Guidelines

1. All building occupants will evacuate as follows:
 - 1.a. All occupants will evacuate on the order to do so.
 - 1.b. Occupants are to proceed to the exit assigned by means of the floor plan and per the instruction of their individual department evacuation guidelines.
 - 1.c. If an employee is not at his/her work area at the time of the evacuation order, he/she is not to return to their work area to retrieve personal possessions or belongings.
 - 1.d. Evacuees will not bring any food, beverages, or large objects with them due to the potential that such items may hinder the evacuation.
 - 1.e. All evacuees will proceed in a single file, in an orderly manner.
 - 1.f. All evacuees will exit the building, and immediately proceed to the designated Assembly Area.
 - 1.g. Occupants are not allowed to re-enter the facility until deemed appropriate by the County Safety Officer or their designee.
2. Assembly Area
 - 2.a. The Schoharie County Emergency Services Office has one designated **Assembly Areas** for all occupants. The Assembly Area are located as follows:

Assembly Area A is located in the parking lot away from the building.
 - 2.b. Upon arrival at the assembly area, evacuees will organize with their co-workers in their assigned department or section.
 - 2.c. Wardens are to determine if anyone from their respective area is missing.
 - 2.d. The Wardens will communicate anyone missing from their respective areas to the Evacuation Wardens, and successively to the County Safety Officer or their designee and emergency response personnel, as appropriate.

3. Internal Evacuation

- 3.a. In the event that the emergency requires the evacuation of a limited part of the building, those affected will be advised to temporarily move to another, specified part of the building.
- 3.b. At this “in-building assembly area”, the evacuees will be advised of further actions to take.
- 3.c. Internal evacuation will only be used if there is absolutely no chance that the emergency might spread to other parts of the building, and that by doing so, the safety of the evacuees and other building occupants will not be jeopardized, as determined by the responding emergency services.

C. Assignment of Roles and Responsibilities

1. The Role of the County Safety Officer or their designee.

- a. Receives/disseminates the initial notification of an emergency situation.
- b. Orders the evacuation of the facility.
- c. Responsible for organizing evacuation team members.
- d. Appoints personnel to the evacuation team and fills vacant positions.
- e. Maintains an updated roster of all Evacuation Wardens, Area Leaders and Evacuation Aides and alternates.
- f. Serves as the facility liaison with the local emergency response agencies.
- g. Determines from Evacuation Wardens if all the evacuees have safely exited the facility.
- h. Responsible for emergency coordination and reporting of any potential emergency condition.
- i. Issues the order to re-enter the facility.
- j. Trains all employees in evacuation procedures.
- k. Supervises the activity and training of all Evacuation Wardens, Area Leaders and Evacuation Aides in their duties and responsibilities.
- l. Ensures that evacuation team personnel have appropriate attire and equipment.
- m. Plans/coordinates the training of Wheel Chairs for the evacuation of persons with special needs.

2. The Role of the Evacuation Wardens

- a. Responsible for the orderly evacuation of all personnel on their assigned floor.
- b. Ascertains that persons with special needs are being assisted.
- c. Responsible for the control of people on their floor.
- d. Determines that their assigned floor is clear of occupants and provides this information to the County Safety Officer or their designee.
- e. Coordinates with Area Leaders and Evacuation Aides that their assigned areas or assigned special needs person(s) have been safely evacuated.

- f. Responsible for an assigned exit and assists in the orderly evacuation of occupants.
- g. Checks all common rooms including bathrooms, conference rooms, reception areas, file rooms, store rooms and remote areas, closing but not locking all doors behind them.
- h. Supervises and monitors evacuation flow while remaining calm, and encouraging a calm and orderly evacuation.
- i. Directs occupants to alternate exit if the primary assigned exit is not usable.

3. The Role of **Area Leaders**

- a. Ensures that all occupants of his/her assigned area are evacuated and arrive at the designated Assembly Area.
- b. Responsible for the control of people in his/her assigned area.
- c. Remains with group throughout the evacuation period and leads them to the predetermined Assembly Area.
- d. Reports to the Evacuation Warden(s) for their floor when their area is clear or if any problems were encountered.
- e. Instructs building occupants to form single file lines into stairway and directs occupants to exit along the right side of stairway.
- f. Ensures that evacuees do not bring any food, beverages, or large objects with them due to the potential that such items may hinder the evacuation.
- g. Reports to the Evacuation Wardens.

4. The Role of the **Evacuation Aide:**

Among the occupants of the Schoharie County Annex, some of the occupants (employee and visitors) may require assistance to evacuate. This could include mobility-impaired and sight-impaired individuals as well as individuals with medical conditions, people with special needs, and the frail elderly.

- a. At the initiation of the evacuation, Evacuation Aides provide assistance and escort to persons with special needs, and will ensure that all persons needing assistance convene on each floor's stairwell landing.
- b. To ensure that both the special needs people requiring assistance and other people evacuating all evacuate in the shortest possible time, the evacuation of persons needing assistance should begin after the preponderance of the evacuating people have passed the stairwell landing area.
- c. For mobility impaired, an evacuation chair is available in the building and can be used. Evacuation Aides have access to the chair and have been trained in it's use.

Section IV: Recovery/Re-Entry

1. Re-Entry

- a. The facility will remain evacuated until the emergency response personnel have determined that it is safe to re-enter.

- b. Evacuees will be told they may re-enter from the County Safety Officer or their designee **ONLY**. The order to re-enter will be disseminated to the Evacuation Wardens and other emergency evacuation team members.
- c. County employees will be allowed to re-enter the building first along with any visitor that they accompanied during the evacuation.

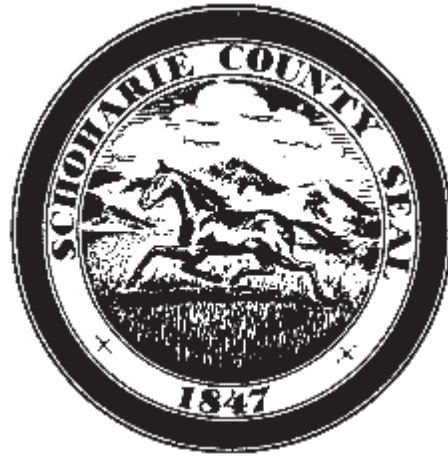
Evacuees will re-enter the facility utilizing the facility main entrance.

- e. If, upon return, any occupant discovers any personal belongings missing, they are instructed to report such findings to their immediate supervisor/department head.

2. Mitigation into the Re-Entry Process

Management wants to know the concerns of all employees, and strongly encourages any feedback from the evacuation process. The purpose of the feedback is to identify ways to improve the evacuation process.

- a. All personnel are encouraged to report any problems they may have experienced during the evacuation process. Additionally, personnel are encouraged to report any malfunctioning equipment, devices, or building construction in an effort to repair such equipment. Report may be made to the County Safety Officer.
- b. After each drill or evacuation event, wardens will be asked to attend a critique following the drill or event. The critique will allow for some of the above issues to be identified, and to address any other issues that may arise. A draft of the critique will be produced, and will be available for all employees to view upon request.
- c. Building maintenance staff will conduct a post-drill/event inspection of the facility, and address any mechanical issues that may have resulted from the drill/event or critique.



Appendix B

Workplace Violence Prevention Program

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Workplace Violence Prevention Program

The County of Schoharie is concerned with and committed to our employees' safety, security, and health. **Workplace violence presents a serious occupational safety hazard to our agency, staff, and clients.** We do not tolerate violence in the workplace and will make every effort to prevent violent incidents from occurring by implementing a Workplace Violence Prevention Program (WVPP). Threats, threatening behavior or acts of violence against employees, visitors, guests, or other individuals by anyone on Schoharie County property will be thoroughly investigated and appropriate action will be taken, including summoning criminal justice authorities when warranted. All employees are responsible for helping to create an environment of mutual respect for each other as well as clients, following all policies, procedures and program requirements, and for assisting in maintaining a safe and secure work environment. **Schoharie County will provide adequate authority and budgetary resources to responsible parties so that our goals and responsibilities can be met.** All Board members, other elected and/or appointed officials and the employees are responsible for implementing, maintaining and complying with our WVPP Program.

- A copy of this policy statement and our WVPP is readily available to all employees upon hiring and by request. Our program ensures that all employees, including Board members, other elected and/or appointed officials, adhere to work practices that are designed to make the workplace more secure, and do not engage in verbal threats or physical actions which create a security hazard for others in the workplace.

All employees, including Board members and other elected and/or appointed officials, are responsible for using safe work practices, for following all directives, policies and procedures, and for assisting in maintaining a safe and secure work environment. The County Board is responsible for ensuring that all safety and health policies and procedures involving workplace security are clearly communicated and understood by all employees. Board members, other elected and/or appointed officials of the county are expected to enforce the rules fairly and uniformly. Our program will be reviewed annually and updated as needed.

This policy is designed to meet the requirements of NYS Labor Law 27b and highlights some of the elements that are found within our WVPP. The process involved in complying with this law included a workplace evaluation that was designed to identify the workplace violence hazards our employees could be exposed to. Other tools that were utilized during this process included establishing a committee made up of management and Authorized Employee Representatives who will have an ongoing role of participation in the evaluation process, recommending methods to

reduce or eliminate the hazards identified during the process and investigating workplace violence incidents or allegations. All employees will participate in the annual WVPP.

The goal of this policy is to promote the safety and well-being of all people in our workplace. All incidents of violence or threatening behavior will be responded to immediately upon notification.

Schoharie County has identified response personnel that include a member of management and an employee representative. If appropriate, Schoharie County will provide counseling services of referrals for employees.

All Schoharie County personnel are responsible for notifying the contact person designated below of any violent incidents, threatening behavior, including threats they have witnessed, received, or have been told that another person has witnessed or received.

Designated Contact Person(s):

James Belfiore
Safety Officer
Office of Emergency Services
518-295-2276
2788 NYS Route 7
Cobleskill NY 12043

Responsibility

The Workplace Violence Prevention Program will be administered by the County Board having **the** authority and responsibility for implementing the provisions of this program for *the County of Schoharie*. All Board members, other elected and/or appointed officials of the county and the employees are responsible for implementing and maintaining the WVPP in their work areas and for answering employee questions about the program. In addition, ***a Workplace Violence Prevention Group and/or Schoharie County Safety Committee will be established to assess the vulnerability to workplace violence at our County work locations, and reach an agreement on the preventive actions to be taken. This group will be responsible for developing employee-training programs in violence prevention and plans for responding to acts of violence. They will also audit our overall Workplace Violence Prevention Program.***

Compliance

We have established this Workplace Violence Prevention Program & Policy to ensure compliance with rules on workplace security. County Board members are committed to ensuring that all safety and health policies and procedures involving workplace security are clearly communicated and understood by employees. All Board members, other elected and/or appointed county officials and employees are responsible for using safe work practices, for following all directives, policies and procedures, and for assisting in maintaining a safe and secure work environment. Our system ensures

that all employees, including county board members and other elected and/or appointed county officials, comply with work practices that are designed to make the workplace more secure, and do not engage in threats or physical actions which create a security hazard for others in the workplace.

Compliance requirements include:

- ☐ ☐ Informing employees, supervisors and managers about our Workplace Violence Prevention Program.
- ☐ ☐ Evaluating the performance of all employees in complying with our County's workplace security measures.
- ☐ ☐ Providing training and/or counseling to employees who need to improve work practices designed to ensure workplace security.
- ☐ ☐ Disciplining employees for failure to comply with workplace security practices.

At the County of Schoharie, we recognize that to maintain a safe, healthy and secure workplace we must have open, two way communications between all employees, including county board members, along with all other elected and/or appointed officials, on all workplace safety, health and security issues. Our establishment has a communication system designed to encourage a continuous flow of safety, health and security information between management and our employees without fear of reprisal and in a form that is readily understandable.

Our communication system consists of the following items:

- ☐ ☐ New employee orientation on our Workplace Violence Prevention Program & Policy
- ☐ ☐ Annual review of our Workplace Violence Prevention Program with all personnel.
- ☐ ☐ Training programs designed to address specific aspects of workplace security unique to our establishment.
- ☐ ☐ Regularly scheduled safety meetings with all personnel that include workplace security discussions.
- ☐ ☐ A system to ensure that all employees, including managers and supervisors, understand the workplace security policies.
- ☐ ☐ Posted or distributed workplace security information.
- ☐ ☐ A system for employees to inform management about workplace security hazards or threats of violence.
- ☐ ☐ Procedures for protecting employees who report threats from retaliation by the person making the threats.
- ☐ ☐ Communicates with and instructs employees orally about general safe work practices with respect to workplace security.
- ☐ ☐ Other: _____.

Hazard Assessment

Assigned members of the County Board and any other person assigned by the Board will perform workplace hazard assessment for workplace security in the form of record keeping and review, periodic workplace security inspections, and a workplace survey. The assessment group will identify workplace violence and security issues and make changes to policy as needed.

Record Keeping and Review

Note: Care must be taken to ensure appropriate confidentiality of medical and personnel records, as required by HIPAA (Health Insurance Portability & Accountability Act), and ADA (Americans with Disabilities Act) and other applicable regulations or policies.

Periodic updates and reviews of the following workplace violence reports and records will be made:

- ☐ Public Employee Safety and Health (PESH) 900 logs
- ☐ Workplace violence incident reports
- ☐ Information compiled for recording assault incidents or near-assault incidents (i.e. Threat & Assault Log)
- ☐ Insurance records
- ☐ Police reports
- ☐ Workplace survey
- ☐ Accident investigations
- ☐ Training records
- ☐ Grievances
- ☐ Inspection information
- ☐ Other relevant records or information

The records review will be performed every January at the organizational meeting.

Workplace Security Inspections

Periodic inspections to identify and evaluate workplace security hazards and threats of workplace violence will be performed in the following areas of our workplace:

Periodic inspections are performed according to the following schedule:

- ☐ When we initially established our Workplace Violence Prevention Program;
- ☐ When new, previously unidentified security hazards are recognized;
- ☐ When occupational injuries or threats of injury occur; and
- ☐ Whenever workplace security conditions warrant an inspection.

Periodic inspections for security hazards consist of identification and evaluation of workplace security hazards and changes in employee work practices, and may require assessing for more than one type of workplace violence. Our establishment performs inspections for each type of workplace violence by using the methods specified below to identify and evaluate workplace security hazards.

**Inspections for workplace security hazards from violence by strangers (Type 1)
include assessing:**

- ☐ ☐ The exterior and interior of the workplace for its attractiveness to robbers.
- ☐ ☐ The need for security surveillance measures, such as mirrors or cameras.
- ☐ ☐ Procedures for employee response during a robbery or other criminal act.
- ☐ ☐ Procedures for reporting suspicious persons or activities.
- ☐ ☐ Posting of emergency telephone numbers for law enforcement, fire and medical services where employees have access to a telephone with an outside line.
- ☐ ☐ Staffing levels during evening hours of operation and at other high risk times.
- ☐ ☐ The use of work practices such as “buddy” systems, as appropriate, for identified risks (e.g., walking employees to their cars or mass transit stops at the end of the work day).
- ☐ ☐ Adequacy of lighting and security for designated parking lots or areas.
- ☐ ☐ Other: _____

**Inspections for workplace security hazards from violence by customers or clients
(Type 2) include assessing:**

- ☐ ☐ Access to and freedom of movement within, the workplace.
- ☐ ☐ Adequacy of workplace security systems, such as door locks, security windows, physical barriers and restraint systems.
- ☐ ☐ Frequency and severity of threatening or hostile situations that may lead to violent acts by persons who are service recipients of our establishment.
- ☐ ☐ Employees’ skill in safely handling threatening or hostile service recipients.
- ☐ ☐ Effectiveness of systems and procedures to warn others of a security danger or to summon assistance, e.g. alarms or panic buttons.
- ☐ ☐ The use of work practices such as “buddy” systems, as appropriate, for identified risks (e.g., walking employees to their cars or mass transit stops at the end of the work day).
- ☐ ☐ Adequacy of lighting and security for designated parking lots or areas.
- ☐ ☐ The availability of employee escape routes.
- ☐ ☐ Other: _____

**Inspections for workplace security hazards from violence by co-workers (Type 3)
include assessing:**

- ☐ ☐ How well our establishment’s anti-violence policy has been communicated to employees, supervisors and managers.
- ☐ ☐ How well our establishment’s management and employees communicate with each other.
- ☐ ☐ How well our employees, supervisors and managers know the warning signs of potential

workplace violence.

- ☐ Access to, and freedom of movement within, the workplace by nonemployees, specifically
 - recently discharged employees.
- ☐ Frequency and severity of employee-reported threats of physical or verbal abuse by managers, supervisors or other employees.
- ☐ Any prior violent acts, threats of physical violence, verbal abuse, property damage or other signs of strain or pressure in the workplace.
- ☐ Employee disciplinary and discharge procedures.
- ☐ Other: _____

Inspection for workplace security hazards from violence by personal relations (Type 4) include assessing:

- ☐ Access to, and freedom of movement within, the workplace by nonemployees, specifically
 - personal relations with whom one of our employee's is having a dispute.
- ☐ Frequency and severity of employee-reported threats of physical or verbal abuse which may lead to violent acts by a personal relation.
- ☐ Adequacy of workplace security systems, such as door locks, security windows, and physical barriers.
- ☐ Any prior violent acts, threats of physical violence, verbal abuse, property damage or other signs.
- ☐ The use of work practices such as "buddy" systems, as appropriate, for identified risks (e.g., walking employees to their cars or bus stops at the end of the work day).
- ☐ Adequacy of lighting and security for designated parking lots or areas.
- ☐ Warnings or police involvement to remove personal relations of employees from the worksite and effectiveness of restraining orders.

Workplace Survey

Under the direction of the Workplace Violence Prevention Administrator & Group, we distributed a survey among all of our employees to identify any additional issues that were not noted in the records review or the security inspection. (See sample survey, Appendix B.)

Final Recommendations:

Based on the records review, workplace security inspections and workplace survey, the Workplace Violence Prevention Group has identified the following issues that need to be addressed:

Workplace Hazard Control and Prevention:

In order to reduce the risk of workplace violence, the following measures have been recommended:

Engineering Controls and Building or Work Area Design:

Workplace Practices:

Management has instituted the following as a result of the workplace violence hazard assessment and the recommendations made by the Workplace Violence Prevention Group:

These changes were completed on (). Policies and procedures developed as a result of the Workplace Violence Prevention Group's recommendations:

Training and Instruction

We have established the following policy on training all employees with respect to workplace violence and security. All employees, including County Board Members, other elected and/or

appointed officials of the county, shall have training and instruction on general and job-specific workplace security practices. Training and instruction shall be provided when the Workplace Violence Prevention Program is first established and annually thereafter. Training shall be provided to all new employees and to other employees for whom training has not previously been provided. It shall also be provided to all employees, and County Board Members, other elected and/or appointed officials of the county that have been given new job assignments for which specific workplace security training for the job assignment has not previously been provided. Additional training and instruction will be provided to all personnel whenever the employer is made aware of new or previously unrecognized security hazards.

General workplace violence and security training and instruction includes, but is not limited to, the following:

- ☐ ☐ Explanation of the Workplace Violence Prevention Program including measures for reporting any violent acts or threats of violence.
- ☐ ☐ Recognition of workplace security hazards including the risk factors associated with the four types of violence.
- ☐ ☐ Measures to prevent workplace violence, including procedures for reporting workplace security hazards or threats to managers and supervisors.
- ☐ ☐ Ways to defuse hostile or threatening situations.
- ☐ ☐ Measures to summon others for assistance.
- ☐ ☐ Employee routes of escape.
- ☐ ☐ Notification of law enforcement authorities when a criminal act may have occurred.
- ☐ ☐ Emergency medical care provided in the event of any violent act upon an employee.
- ☐ ☐ Post-event trauma counseling for those employees desiring such assistance.

In addition, we provide specific instructions to all employees regarding workplace security hazards unique to their job assignment, to the extent that such information was not already covered in other training.

We have chosen the following items for training and instruction for managers, supervisors and employees:

- ☐ ☐ Crime awareness.
- ☐ ☐ Location and operation of alarm systems, panic buttons and other protective devices.
- ☐ ☐ Communication procedures.
- ☐ ☐ Proper work practices for specific workplace activities, occupations or assignments, such
as late night retail sales, taxi -cab driver, security guard, law enforcement, health care, public transportation, etc.
- ☐ ☐ Self-protection.
- ☐ ☐ Dealing with angry, hostile or threatening individuals.
- ☐ ☐ Using the “buddy” system or other assistance from co-employees.
- ☐ ☐ Awareness of indicators that lead to violent acts by service recipients.
- ☐ ☐ Employee assistance programs.

- ☐ ☐ Review of anti-violence policy and procedures.
- ☐ ☐ Managing with respect and consideration for employee well-being.
- ☐ ☐ Pre-employment screening practices.
- ☐ ☐ Role playing a violent incident.

Incident Investigation

Our procedures for investigating incidents of workplace violence threats and physical injury include:

- ☐ ☐ Reviewing all previous incidents.
- ☐ ☐ Visiting the scene of an incident as soon as possible.
- ☐ ☐ Interviewing threatened or injured employees and witnesses.
- ☐ ☐ Examining the workplace for security risk factors associated with the incident, including any previous reports of inappropriate behavior by the perpetrator.
- ☐ ☐ Determining the cause of the incident.
- ☐ ☐ Taking corrective action to prevent the incident from recurring.
- ☐ ☐ Recording the findings and corrective actions taken.
- ☐ ☐ Other:

Policy Adopted By Board On: _____

Motion and/or Resolution #: _____

SCHOHARIE COUNTY

Workplace Violence/Harassment Complaint Form

***Note:** All information provided during the course of this investigation will be kept confidential, to the extent possible. No action will be taken against individuals who lodge good faith complaints of harassment. We depend upon your providing truthful and accurate information to allow it to conduct a full and fair investigation.*

Name of employee with complaint: _____ Dept: _____

Employee/Customer against whom complaint is made: _____

Dept: _____

Please describe in your own words exactly what occurred, noting dates and times of each action:

Were there any witnesses to any of the actions described above?

☐ No ☐ Yes

If, yes, please identify each individual and what he or she witnessed:

1. Witness Name: _____ Actions observed: _____

2. Witness Name: _____ Actions observed: _____

SCHOHARIE COUNTY

3. Witness Name: _____ Actions observed: _____

Signature: _____ Date: _____

HARASSMENT INVESTIGATION FORM

Complainant Name: _____
Supervisor: _____ Dept: _____
Complaining About: _____ Dept: _____
Date of complaint: _____ Complaint made to: _____

Briefly summarize each action about which the employee complains:

<u>Incident</u>	<u>Date</u>	<u>Time</u>	<u>Witnesses</u>
-----------------	-------------	-------------	------------------

Witness Statements:

Name of Witness: _____ Dept: _____
Date interviewed: _____ By whom: _____

Briefly summarize the information, if any, provided by the witness:

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Name of Witness: _____ Dept: _____

Date interviewed: _____ By whom: _____

Briefly summarize the information, if any, provided by the witness:

Name of Witness: _____ Dept: _____

Date interviewed: _____ By whom: _____

Briefly summarize the information, if any, provided by the witness:

Statement From Employee/Customer Charged With Harassment

Name of Employee: _____ Dept: _____

Date interviewed: _____ By whom: _____

Briefly summarize the information, if any, provided by the witness:

SCHOHARIE COUNTY

Recommended Action (including the reasons supporting the action):

Name (Optional): _____

Department/Unit: _____ (MUST to be given)

Work Location (if at alternate worksite): _____

Please assess your department over the last year:

Circle TRUE (T), FALSE (F), DON'T KNOW (?) or N/A (If it does not apply to you or your job)

Thank you for your honest assessment.

Management Commitment and Employee Involvement

- | | | | | |
|---|---|---|------------|-----|
| 1. Violence/threats are not accepted as "part of the job" by managers, supervisors and/or employees. | T | F | DON'T KNOW | N/A |
| 2. Employees communicate information about potentially assaultive/threatening clients or visitors to appropriate staff. | T | F | DON'T KNOW | N/A |
| 3. Management communicates information to employees about incidents of workplace violence. | T | F | DON'T KNOW | N/A |
| 4. Employees feel they are treated with dignity and respect by other employees. | T | F | DON'T KNOW | N/A |
| 5. Employees feel they are treated with dignity and respect by management. | T | F | DON'T KNOW | N/A |
| 6. Employees feel they are treated with dignity and respect by elected officials. | T | F | DON'T KNOW | N/A |
| 7. Employees are basically satisfied with their jobs. | T | F | DON'T KNOW | N/A |
| 8. Employees are basically satisfied with management. | T | F | DON'T KNOW | N/A |
| 9. Employees are basically satisfied with the county (i.e., mission, vision, goals). | T | F | DON'T KNOW | N/A |
| 10. Employees generally feel "safe" when they are at work. | T | F | DON'T KNOW | N/A |
| 11. Employees are familiar with the county's violence prevention policy. | T | F | DON'T KNOW | N/A |

Potential Risk Factors

- | | | | | |
|--|---|---|------------|-----|
| 12. Employees do not work in high-crime areas. | T | F | DON'T KNOW | N/A |
| 13. Employees do not work with drugs. | | | | |

- | | | | | |
|--|---|---|------------|-----|
| | T | F | DON'T KNOW | N/A |
| 14. Employees do not work with cash. | | | | |
| | T | F | DON'T KNOW | N/A |
| 15. Employees do not work with patients or clients who have a history of violent behavior or behavior disorders. | | | | |
| | T | F | DON'T KNOW | N/A |
| 16. Employees do not work in isolated work areas. | | | | |
| | T | F | DON'T KNOW | N/A |

Hazard Prevention and Control

- | | | | | |
|---|---|---|------------|-----|
| 17. The department has adequate lighting to, from and within the worksite. | | | | |
| | T | F | DON'T KNOW | N/A |
| 18. The employee parking area is secure when arriving, leaving and during changes of shift. | | | | |
| | T | F | DON'T KNOW | N/A |
| 19. Access and freedom of movement within the workplace are restricted to those persons who have a legitimate reason for being there. | | | | |
| | T | F | DON'T KNOW | N/A |
| 20. Alarm systems such as panic alarm buttons, silent alarms, or personal electronic alarm systems are being used for prompt security assistance. | | | | |
| | T | F | DON'T KNOW | N/A |
| 21. After hours, the building is locked down with only one access point. | | | | |
| | T | F | DON'T KNOW | N/A |
| 22. Visitors are signed in and out. | | | | |
| | T | F | DON'T KNOW | N/A |
| 23. Exits are accessible and clearly marked. | | | | |
| | T | F | DON'T KNOW | N/A |
| 24. Employees are able to locate emergency equipment such as fire alarm boxes or emergency-generator outlets. | | | | |
| | T | F | DON'T KNOW | N/A |
| 25. Emergency equipment is accessible and free from obstruction. | | | | |
| | T | F | DON'T KNOW | N/A |
| 26. Employees are able to locate cellular phones, power-failure phones and/or radios for emergency communication. | | | | |
| | T | F | DON'T KNOW | N/A |
| 27. Employees know of the proper procedures if a bomb threat is announced. | | | | |

	T	F	DON'T KNOW	N/A
28. Employee emergency call-back list is up-to-date and available.				
29. Employees use the "buddy system" to work together if problems arise.				
30. Employees working in the field have cellular phones or other communication devices to enable them to request aid.				
31. Staffing levels are appropriate for department/unit functions.				
32. Reference manuals are up-to-date and available to employees.				
33. There is a grievance policy available to employees.				
34. There is a Safety Committee available as a resource to staff for any hazard concern.				

Training

35. Employees have received training on the county's workplace violence prevention program.				
36. Employees know how to ask for assistance by phone or by alerting other staff.				
37. Employees have been trained to recognize and handle threatening, aggressive, or violent behavior.				
38. Employees have been trained in verbal de-escalation techniques.				
39. Employees have been trained in self-defense/restraint procedures.				

Incidents and Reporting

40. This work unit/department has not experienced violent behavior and assaults or threats from strangers.				
41. This work unit/department has not experienced violent behavior and assaults or threats from clients or customers.				

T F DON'T KNOW N/A

42. This work unit/department has not experienced violent behavior and assaults or threats from others employed in the organization.

T F DON'T KNOW N/A

43. This work unit/department has not experienced domestic violence issues.

T F DON'T KNOW N/A

44. Employees are required to report incidents or threats of violence, regardless of injury or severity; the reporting system is clear.

T F DON'T KNOW N/A

45. Medical and psychological counseling services were offered to employees who have been assaulted or threatened.

T F DON'T KNOW N/A

APPENDIX 1

Workplace Violence Incident Report

Today's Date: _____

Date of Incident: _____

Time of Incident: _____

Case Number: _____

Employee Name: _____

Customer Name: _____

Title: _____

Identifiers: _____

Workplace Location: _____

Incident Location: _____

What was the employee/customer doing just prior to the incident?

Incident Description (Minimally include names of involved employees and/or customers extent of injuries and names of witnesses):

Provide information on preventative actions that the public employer has taken or is considering as a result of the incident to prevent against further like occurrences:

After the occurrence of a workplace violence incident, the public employer shall consider global (all public employer worksites) prevention enhancements, which may be necessary to properly protect employees.

The employer is responsible for maintaining copies of reports which shall be used when the program is reviewed and updated.

Appendix 2

Workplace Security Checklists

Facility: _____

Address/Work Location: _____

Assessment Done By: _____

Date of Assessment: _____

Security Control Plan

Has a Security Control Plan been developed? Yes ___ No ___

If yes, is it in writing? Yes ___ No ___

If yes, does it include

A. A Policy Statement Yes ___ No ___

B. Evaluation of work areas Yes ___ No ___

C. Identification of control methods considered:

1. Engineering Controls Yes ___ No ___

2. Work Practice Controls Yes ___ No ___

D. Training Yes ___ No ___

E. Evacuation and Floor Plan Yes ___ No ___

Is the Security Control Plan accessible to all employees? Yes ___ No ___

Is the Security Control Plan reviewed and updated when a task has been added or changed and at least annually? Yes ___ No ___

Have you coordinated your Security Control Plan with the local law enforcement agency?

Yes ___ No ___

A. Policy Statement

Is the Workplace Violence Policy statement clearly written?

Yes ___ No ___

B. Work Area Evaluation

Are all areas being evaluated?

Yes ___ No ___

If no, which ones are not?

Comments:

C. Control Measures

1. Engineering Controls

If appropriate, have the following engineering controls been implemented:

A. Door control(s)

Yes ___ No ___

B. Panic buttons

Yes ___ No ___

C. Door detectors

Yes ___ No ___

E. Closed circuit

Yes ___ No ___

F. Stationary metal detector

Yes ___ No ___

G. Sound detection

Yes ___ No ___

H. Intrusion panel

Yes ___ No ___

I. Monitors

Yes ___ No ___

J. Video tape recorder

Yes ___ No ___

K. Switcher

Yes ___ No ___

L. Hand-held metal detector

Yes ___ No ___

M. Other _____

Have structural modifications (e.g. Plexiglas, partitions, etc.) been implemented?

Yes ____ No ____

If yes, comment, if no, what is needed?

2. Work Practice Controls:

If appropriate, have the following work practice controls been implemented:

- | | |
|---|------------------|
| A. Desk clear of objects | Yes ____ No ____ |
| B. Unobstructed office exits | Yes ____ No ____ |
| C. Bare cubicles available | Yes ____ No ____ |
| D. Reception area available | Yes ____ No ____ |
| E. Visitor/client sign in/out | Yes ____ No ____ |
| F. Visitor(s)/client(s) escorted | Yes ____ No ____ |
| G. Counter top to separate clients from work area | Yes ____ No ____ |
| H. One entrance used | Yes ____ No ____ |
| I. Separate interview area(s) | Yes ____ No ____ |
| J. I. D. badges used | Yes ____ No ____ |
| K. Emergency phone numbers posted | Yes ____ No ____ |
| L. Internal phone system | Yes ____ No ____ |
| M. If yes, indicate - | |
| a. Does it use 120 VAC building lines? | Yes ____ No ____ |
| b. Does it use phone lines? | Yes ____ No ____ |

N. Internal procedures for conflict (problem) situations

Yes ____ No ____

O. Parking lot well lighted

Yes ____ No ____

P. Other

Are Security Guards used at this facility?

Yes ____ No ____

If yes, how many ____

A. At entrance(s)

Yes ____ No ____

B. Building patrol

Yes ____ No ____

C. Are they from a contracted security agency?

Yes ____ No ____

If no, has consideration been given to the local law enforcement response capability?

Yes ____ No ____

Comments:

Workplace Violence Prevention Training

Has training been conducted?

Yes ____ No ____

If yes, is it provided?

1. Prior to initial assignment

Yes ____ No ____

2. Annually thereafter

Yes ____ No ____

Does training include:

- A. Components of security control plan Yes ___ No ___
- B. Engineering controls instituted at the workplace Yes ___ No ___
- C. Work practice controls instituted at the workplace Yes ___ No ___
- D. Techniques to use in potentially volatile situations Yes ___ No ___
- E. How to anticipate/read behavior Yes ___ No ___
- F. Procedures to follow after an incident Yes ___ No ___
- G. Periodic refresher for onsite procedures Yes ___ No ___
- H. Recognizing substance abuse/paraphernalia Yes ___ No ___
- I. Opportunity for Q&A with instructor Yes ___ No ___

Are training records kept?

Yes ___ No ___

Floor Plan, Evacuation Plan

Are emergency evacuation plans current?

Yes ___ No ___

Are floor plans posted showing exits, entrances, location of security equipment, etc?

Yes ___ No ___

Are emergency evacuation drills conducted annually?

Yes ___ No ___

Conclusions:

Do employees feel safe?

Yes ___ No ___

Comments:

Comments and Recommendations based on this evaluation:

Appendix 3

Employee Survey on

Workplace Violence Hazard Assessment

(No Signature Needed)

Name (Optional)

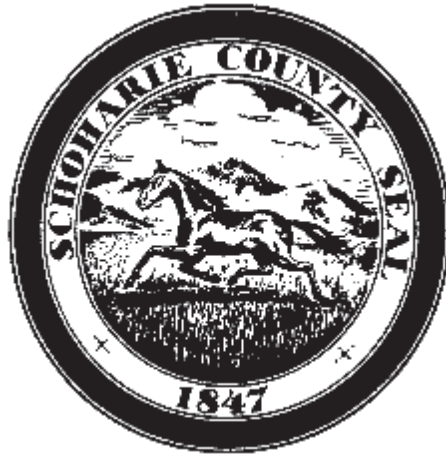
Department/Unit Date

Work Location (if at alternate worksite)

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Appendix C

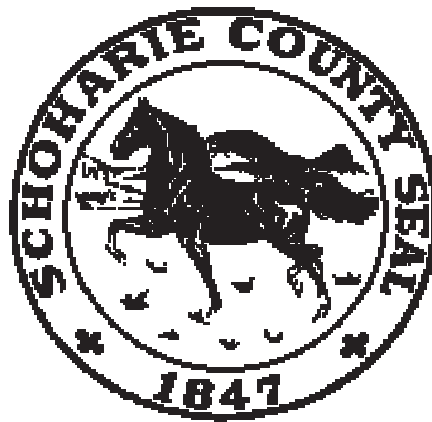
Safety & Health Handbook

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Schoharie County Employee Safety and Health Handbook



Safety begins with YOU

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Introduction

This employee Safety and Health Handbook is intended for all County Employees, full time, part time, regular, temporary, and all other employment categories (Interns, Job Fair, student workers, etc.). It has been developed to provide you (the employee) with answers to general questions you might have concerning health and safety in the workplace. This handbook is not intended to provide all the answers to your questions or concerns about safety and health. It is intended to be a reference for you, in order for you to become familiar with ways to protect yourself and the public. It is important that you and your supervisor discuss specific safety and health policies and programs for your specific Department or Agency. All county employees are required to read the “Schoharie County Safety Policy”.

***THINK
SAFETY FIRST!***

Schoharie County Safety Program

Schoharie County recognizes the vital importance of providing all employees and the public with a safe and healthy working environment. To assist in this endeavor the county has formed a Safety Committee made up of representatives from all of the county departments and agencies. The members of this committee contribute safety related information from their agencies to the committee. They likewise bring valuable information concerning Federal, State and Local Safety and Health Regulations and Mandates back to their department or agency.

The mission of the Safety Committee is to formalize and implement a county wide safety program to ensure the protection of all who work for or receive services from Schoharie County. The Safety Committee will adhere to the “Schoharie County Safety Committee Policy” to achieve the goal of a safe and healthy work environment.

If you have any questions or concerns pertaining to safety and health issues, please contact the representative from your department or agency. (See Appendix A)

***SAFETY IS
JOB #1***

Schoharie County Safety Committee Policy

The goal of the Schoharie County Safety Committee is to provide every employee a place of employment free from recognized hazards, which may cause or create a potential for physical harm and health impairment.

The Schoharie County Safety Committee consists of key personnel representing each department or agency and is chaired by the Schoharie County Safety Officer. The committee meets regularly to assist in the accomplishment of our goal. The committee reports its findings and recommendations directly to the Board of Supervisors following each meeting or sponsored activity. The County Safety Officer will work with department heads to appropriately address committee findings or recommendations.

The Safety Committee will:

- Implement progressive accident prevention programs, systems and techniques.
- Provide a work environment where identified occupational hazards are controlled when elimination is NOT feasible.
- Cooperate with department heads and maintenance to optimize employee safety and health.
- Review incident reports received by the Safety Officer.
- Review safety concerns from department representatives.
- Inspect departments periodically for safety issues.
- Provide safety in-service training.
- Conduct safety surveys on an annual basis.
- Post a schedule of all department safety in-service training.

Write a safety and health handbook that will be distributed to all County employees and any new employees at their entrance interview.

Department Head will:

- Be responsible and accountable for a superior level of employee protection and performance.
- Institute work practices which reflect the safest, most efficient methods available for accomplishing the required task.
- Assure attendance to safety in-service.
- Provide specific safety in-service training for their department.
- Forward a copy of the in-service training report to the Safety Officer.

- Be responsible for the health and safety of their employees and the public.
- Ensure compliance with all applicable laws and regulations.
- Inform new employees about health and safety responsibilities, rules, regulations and policies.
- Assure that required equipment and personal protective equipment are provided, maintained and utilized.
- Take prompt action when unsafe acts or conditions are reported or noted, providing for health and safety training and education on a continual basis.
- Investigate and report all on the job accidents promptly and insure medical treatment is provided if necessary.
- Investigate and report all job related health and safety problems promptly.
- Coordinate or conduct internal inspections to assure safe and healthy working conditions.
- Notify the County Personnel Office by completing an accident/injury report immediately, no matter how minor.
- Communicate regularly with an employee who is out on disability or workman's compensation.
- Contact the Safety Officer immediately when an incident requires the employee to seek medical attention.

All employees will:

- Be expected to conduct their jobs in the safest and healthiest manner prescribed.
- Be expected to conduct themselves in a way that enhances their safety and that of their fellow employees.
- Be encouraged to cooperate and contribute towards the overall success of the safety program.
- Participate in safety activities and committees when requested.
- Report all accidents and injuries immediately to their supervisor.
- Cooperate in the accident reporting and safety evaluation process.

Health and Safety Responsibilities

Good health and safety practices are the responsibility of all county employees. The participation and cooperation of each employee is essential to a smooth and effective safety and health program. Your responsibilities as a county employee, include but are not limited to:

- Following all health and safety policies and procedures.
- Reporting hazardous conditions to your immediate supervisor.
- Wearing or using prescribed personal protective equipment.
- Reporting any job related injury or illness to your immediate supervisor and seeking treatment promptly.
- Sign and/or complete an accident/injury report.
- If you receive a job related injury or illness you must:

After 3 days or more of loss work, obtain a doctor's note to return to work.

If there is a loss of time from the job notify your supervisor how you wish to be paid.

Notify your supervisor of an estimated date you will return to work.

If a date cannot be determined, you are to keep your supervisor informed of your physicians ongoing assessment of the job related injury or illness.

Participate in the Transitional Duty Program.

Communicate with your department head on a regular basis while out on a job related injury or illness.

Fire Safety and Emergency Preparedness

The establishment of well thought out emergency plans is one of the cornerstones of an effective safety program. Evaluating potential emergency situations, developing emergency procedures, and conducting practice exercise can help save lives. The following are general guidelines to adhere to (special requirements may apply to your work area/position; these will be provided to you by your supervisor):

- You should become familiar with posted evacuation plans for your building.
- Know what the fire alarm sounds like (Drills will be conducted periodically).
- Keep exit routes clear.
- Report any blocked exit routes to your supervisor immediately.
- Evacuate individuals that you are responsible for.

- Know the location of fire alarm pull stations and use them in the event of an emergency.
- Use fire extinguishers only if you are properly trained on their use.
- Fire extinguishers will not be moved from its assigned location except in an emergency.
- Flammable and combustible liquids must be handled only in approved, properly labeled metal safety cans.
- Evacuation teams have been established in some areas. Your supervisor will inform you of who they are.
- In the event of a serious injury/illness or other emergency, requiring immediate assistance, dial 911. Describe the emergency, give exact location and stay on the line until released by the person you are communicating with.

Safe Lifting of Individuals

Lifting individuals can be damaging if not done properly. Back injuries in particular can result to an employee who approaches, lifts and or transfers another person in a careless manner. Because transferring individuals may be necessary, being properly trained to use appropriate lifting techniques will assist employees in avoiding injuries when completing this task. Make sure you are properly trained before attempting this task.

Material Handling, Storage and Lifting of Items

All materials must be properly stacked and secured to prevent sliding, falling or collapsing. Aisles, stairs and passageways must be kept clear from all items to provide for safe movement of employees and equipment and to provide access and egress in emergency situations.

Use proper lifting techniques when lifting or moving items:

- Get down close to the item, stand close and spread legs for balance.
- Keep back straight, bend knees and lift with leg power.
- Lift gradually using your legs while avoiding twisting, jerking or bending.
- Get help for large or heavy items, never risk lifting too much.
- Do not reach above your head to move an item, use proper steps, ladders, etc.
- REMEMBER – Lifting methods will be different for each situation.

Office Safety

The following practices are recommended when working at your computer, desk or workstation.

- Arrange your workstation so the monitor is free from glare
- Vary work tasks during the course of the day.
- In an effort to prevent body stress, you should be in the proper position to access the computer and desk.
- The computer screen should be approximately 20 degrees below eye level and 20 inches from the employee.
- Documents should be placed at the same height and distance from the employee in plain view of the screen.
- Keyboard should be in position on an incline, allowing the hand and forearm to remain straight while typing and you should utilize an armrest for support.
- Chair's seat height and angle should be adjusted by the employee to allow the feet to rest comfortably on the floor and provide lower back support.
- Back should be straight and legs not crossed.
- Close desk and file cabinet drawers when not in use.
- Keep telephone cords and other wiring out of traffic paths.
- Avoid spilling beverages near any electrical outlets or equipment.

Safe Driving and Motor Vehicles

The following rules and guidelines apply to Safe Driving and Motor Vehicles while working:

Always drive defensively, this means to take every reasonable precaution to prevent an accident, including and especially following at a safe distance.

Always stay within the posted speed limits.

Use caution when traveling on poor road surfaces or during inclement weather (rain, snow, wind, etc)

Always leave yourself enough time to get the job or task completed without rushing or taking chances behind the wheel.

Obey all traffic devices, signs and instructions of public safety officers.
Always complete a pre-trip and a post-trip inspection of the vehicle.

Always pull over to the side of the road when using a cellular phone. Use caution and pull over to a safe spot along the road.

Always wear your seat belt. IT's THE LAW.

Require passengers to buckle up also.

Always refrain from smoking and consuming food or beverage while driving.

Never operate a vehicle if you have been consuming alcoholic beverages, when under the influence of an illegal substance or taking medication which interferes with your ability to drive.

Operators of vehicles shall carry a valid driver's license with them at all times while driving.

Any one operating a county owned vehicle will comply with the Schoharie County Policies and Procedures Manual, Chapter 1, County Automobiles.

Slips and Falls

Slips and falls are among the most common accidents affecting employees. Poor housekeeping, wet and slippery floors and corridors, poor drainage, bad physical condition of walking or working surfaces, faulty ladders and steps and poor lighting are just a few of the possible causes of slips and falls. Injuries may be avoided by remembering the following:

- Passageways must be kept clear
- Spills should be mopped up immediately.
- Wet floors in freshly mopped hallways should be marked or blocked off until dry.
- Floors should have adequate drainage. Where water collects, employees should stand on a dry surface such as platforms or false doors.
- Floors that are often wet should be covered with non-slip coating materials or mats.
- Sufficient outlets should be provided so that electrical wires and cords do not run across floors where people are likely to trip.
- Safe and convenient ladders or footstools must be provided. A chair or a box should never be used as a ladder.
- Scaffolding, elevated runways and stairs should have guards. Cracks in floors should be blocked off.
- Sidewalks and walkways should be cleared of all items and should be properly maintained (salted and swept clean).

Accidents

Accidents just don't happen out of the blue. They are either the result of an unsafe act or an unsafe condition or both. Accidents are also a result of failure to recognize and correct unsafe acts or conditions.

Unsafe Acts- Most accidents are caused by unsafe acts, such as operating tools or equipment without proper training or permission, failure to use Lockout Procedures, horseplay, running, failure to inspect equipment, attempting unauthorized repairs, improper lifting, not using Personal Protective Equipment (PPE), and improper use of chemicals.

Unsafe Conditions – Unsafe conditions may include damaged equipment or tools, poor lighting, slippery walking surfaces, missing machine guards, inadequate training or supervision, exposed electrical circuits, worn or damaged PPE, improper storage of materials, trash accumulation, overloaded electrical circuits, congested walkways, trip hazards (such as wiring and cords in pathways), missing hazard warning signs, unlabeled chemicals and poor housekeeping.

Smart Safety Rules

- If it looks unsafe it probably is unsafe.
- Immediately report all accidents, unsafe conditions and near misses to the Safety Officer
- Don't perform any task unless you have been properly trained.
- Use proper PPE for the job.
- Inspect all tools and machinery before using.
- Stay focused on the job, horse play is prohibited.
- If you need help ask for it.
- Don't rush any task.
- Follow all safety rules.
- Know the hazards and how to control them.

Accident Reporting Procedure

Employees are covered for all work related accidents, injuries and illnesses under the provisions of the New York State Worker's Compensation Law. It is the employee's responsibility to notify his/her immediate supervisor of any job related accident, injury or illness, no matter how minor. An accident/injury report must be completed within 24 hours of an occurrence of any job related

accident, injury or illness. The report will be submitted to the following, by the designated person in each department or agency.

Original Safety Officer

The county will make available a summary of all county occupational injuries and illnesses no later than February 1st of each year.

Communication of Hazards in the Workplace

Employees must be informed of any recognized hazards in their workplace. It is the responsibility of the Safety Officer, Department Head or Supervisor to provide adequate health and safety orientation related to standard operating procedures, hazards, and personal protective equipment. This orientation should be provided prior to working at any job.

This information must be presented in a manner that is understandable by all employees. This includes attention to literacy level and language barriers. Appropriate signage shall be posted concerning hazards and warnings. Regulations and policies affecting employee safety and health must be made available to them.

Training

Employees may be required to attend in-house training sessions on such topics as those that apply to their respective departmental related safety and health issues. At a minimum health and safety training must include:

- Recognition of health and safety hazards.
- General and job specific health and safety practices.
- Departmental or Agency Policies and Procedures concerning safety and health.
- Federal and State Laws and Regulations
- County health and safety policies applicable to the job.

Training should occur when an employee is hired, or when an employee is given a new work assignment for which training has not previously been given or when a new hazard (chemical or physical) is introduced into the workplace.

Schoharie County Safety Committee

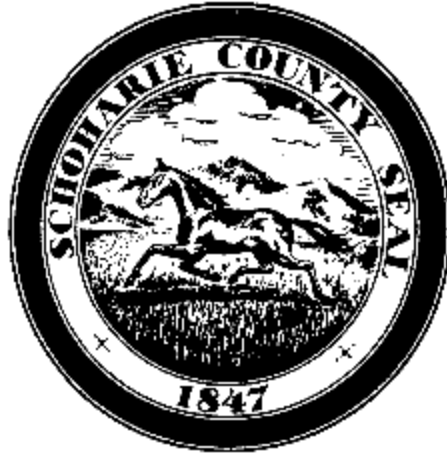
James Belfiore - Safety Officer
2783 State Route 7, Suite 1
Cobleskill NY 12043
518-231-0151
james.belfiore@co.schoharie.ny.us

For a current listing of Safety Committee members, please contact the Safety Officer at the above number.

Prepared for you by the
Schoharie County Safety Committee

Adopted March 15, 2001

Revised May 4, 2006
Revised November 30, 2006
Revised March 2015



Appendix D

American with Disability Act

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POLICY

In conformity with the Americans with Disability Act, it is the policy of the County of Schoharie ("County") not to discriminate on the basis of disability against any qualified person. To this end all decisions relating to employment including, but not limited to recruitment, selection, training, assignment, promotion, compensation, transfer, benefits, and education, will be determined by the applicant's or employee's ability with consideration of any requested reasonable accommodation. This policy is applicable to all employment policies and practices. The County also provides reasonable accommodation in connection with the provision of County services, programs and activities.

A. Definition of reasonable accommodation:

- (1) Reasonable accommodation is an adjustment to job duties, performance methods, and/or work setting or service delivery to meet the individualized need of a individual, applicant or employee with a qualified disability.
- (2) The provision of a reasonable accommodation removes barriers in a specific situation, which prevent or limit the application process, recruitment, employment and upward mobility of a qualified person with a disability or prevents their participation in a program, activity or event.

B. Examples of reasonable accommodations are:

- Making facilities accessible and usable;
- Job restructuring;
- Modifying work schedules;
- Implementing flexible leave policies;
- Reassigning to a vacant position;
- Providing assistive equipment at County Offices or programs;
- Modifying test, training materials and policies; or
- Providing qualified readers or interpreters.

1. SCOPE AND PURPOSE

- 1.1 Scope: This provides guidance and the procedure through which individuals may request reasonable accommodation; and the manner in which departments should consider and review those requests.
- 1.2 Purpose: This is intended to assist applicants for employment, current employees, individuals desiring to participate in County sponsored programs or activities, and department supervisors and managers in requesting and processing reasonable accommodation requests. It covers the following:

- Guidelines for filing a Request for Reasonable Accommodation
- Guidelines for considering and evaluating a Request for Reasonable Accommodation.
- Appeal process

2. FILING A REQUEST FOR REASONABLE ACCOMMODATION

2.1 Any applicant for employment, current employee, or individual with a qualified disability seeking to participate in a County program or activity, or his/her representative, may request a reasonable accommodation. The applicable department shall provide persons requesting accommodation a Reasonable Accommodation Request Form (Attachment 1). It is the responsibility of the requester to complete in full and submit the form to the Director or the department representative responsible for the employment or program activity.

- (a) Individuals seeking, or supervisors wanting to provide informally, a reasonable accommodation may do so; a formal request would follow if the informal request was rejected.
- (b) Although the responsibility for requesting a reasonable accommodation rests primarily with the applicant, employee, or participant the department head and Personnel Officer are available as resources in the preparation, explanation, and dissemination of reasonable accommodation information or technical assistance.

2.2 All requests for accommodation must indicate the following:

- (a) Name, address, and telephone number of the person requesting the accommodation.
- (b) The specific limitation, the type of accommodation requested, with an explanation of how the accommodation will allow the performance of the essential functions of the position or the participation in a program or activity.
- (c) Verification of a qualified disability by the requester's physician, medical provider or vocational/rehabilitation counselor may be required. (If medical verification is required the person requesting accommodation must sign a release form (Attachment 2)).

3. REVIEW OF REQUESTS FOR REASONABLE ACCOMMODATION

3.1 Because of the personal nature of some disability issues every reasonable effort should be taken to ensure confidentiality during the entire review process.

a. The determination whether to provide and accommodation is made on a case by case basis. This is an individualized process through which the department and the individual with a disability discuss and arrange for the necessary (and reasonable) changes. The department must make a "reasonable effort" to determine the appropriate accommodation. Primary consideration should be given to the preferences of the individual when deciding on accommodation, however, the department has the ultimate discretion to choose between effective accommodations.

b. A department may not compel an individual with a disability to use an accommodation that is not necessary to perform the job.

3.2 In consideration a request for accommodation a department will complete the Reasonable Accommodation Review Form (Attachment 3). The following factors must be considered when reviewing a request for accommodation:

- a. Analyze the job or activity to determine the essential functions.
- b. Determine with the employee, applicant or participant how the disability limits their performance of the essential functions or participation in the program.
- c. Identify accommodation options that overcome limitations and determine the effectiveness and feasibility of the proposed accommodations.
- d. Considering the requester's preference, the department selects the accommodation most appropriate for the requester and the department.

3.3 If the request is approved, the Director or Department Head will notify the requester and make the necessary implementation arrangements.

3.4 The review process concluding with the approval or denial recommendation, shall be completed in fifteen (15) working days from the date of the request, unless circumstances warrant a longer period. If the department reviews and approves the request for accommodations, it shall provide the accommodation without due delay.

4. APPEAL PROCESS

4.1 Department decisions on reasonable accommodation may be appealed to the Personnel Officer. The appeal must be submitted within thirty (30) calendar days from the date of notification by the department. The Personnel Officer shall review the matter and inform all parties of his/her decision. The department will provide all necessary information to facilitate this review.

COUNTY OF SCHOHARIE

REASONABLE ACCOMMODATION REQUEST FORM

PERSONAL INFORMATION NOTICE

Pursuant to the Federal Privacy Act (P.L.93-579) and the Information Practices Act of 1977 (Civil Code Sections 1798, at seq.), notice is hereby given for the request of personal information by this form. The requested personal information is voluntary. The principle purpose of the voluntary information is to facilitate the processing of this form. No disclosure of personal information will be made unless permissible under Article 6, Section 1798.24 of the IPA of 1977. Each individual has the right upon request and proper identification, to inspect all personal information in any record maintained on the individual by an identifying particular. Direct any inquiries on information maintenance to your ADA Coordinator.

To: _____
(Department Head)

From: _____
(Name of person requesting accommodation)

Address _____
Street Apt. # City State Zip

Telephone () _____

REQUEST FOR REASONABLE ACCOMMODATION

1. I am requesting accommodation because (circle one): A or B or C
- (A) I am requesting accommodation that will allow me to participate in a County offered program, activity or service.
Activity name: _____
- (B) I am applying for employment. The accommodation requested will allow me to participate in the examination for
(position title): _____
- (C) I am currently employed by the County and request a reasonable accommodation. My current job title is: _____
2. My specific functional limitation is: _____ The accommodation I am requesting is described below. (Describe the type of accommodation; if it is a purchasable item list model, number, cost, where it can be obtained, etc., suggestions for work site or examination site modifications or specific job duties which may be restructured or shared to facilitate employment, participate in the examination or utilize a County program, activity or service.)

3. Describe how this accommodation will assist you. Please attach additional sheets as necessary.

CERTIFICATION

I certify that I have a disability or medical condition that requires reasonable accommodation, which will be met by acquiring the equipment, services, or work adjustments described above.

Signature: _____ (Date) _____

COUNTY OF SCHOHARIE

AUTHORIZATION FOR THE RELEASE
OF MEDICAL INFORMATION

_____, **HEREBY AUTHORIZE** _____
(name) (name)

to release to the **County of Schoharie** medical information pertinent to the reasonable accommodation requested in the attached document.

To any licensed physician, other licensed practitioner, hospital, clinic, or other medically related facility, or United States Veteran Administration: I authorize you to release to the County of Schoharie the above-requested information to be used solely for the purpose of evaluating my request for reasonable accommodation. This authorization shall be valid for a period 180 days after the date of my signature or earlier if revoked by me in writing to the County of Schoharie. I hereby acknowledge that I have been informed of my right to receive a copy of this authorization request. I further acknowledge that I have been informed that if the medical information contained herein is not released, my reasonable accommodation may be denied.

Employee Signature

Date

COUNTY OF SCHOHARIE

REQUEST FOR MEDICAL INFORMATION FOR REASONABLE ACCOMMODATION

DATE: _____

TO: _____
(Physician or Medical Provider)

FROM: _____
(Title)

SUBJECT: **REQUEST FOR MEDICAL INFORMATION NEEDED TO ASSIST IN PROVIDING A REASONABLE
ACCOMMODATION FOR:**

(Applicant/Employee/Participant)

(Medical Record #)

(Social Security #)

The County of Schoharie is attempting to provide reasonable accommodation to the Applicant/Employee/Participant indicated above to assist in providing employment or participation in a program, activity or service. The information requested below is confidential and will only be used to determine the specific equipment and/or services necessary to accommodate the identified limitations due to the verified disability.

Under the Americans with Disabilities Act, an ***individual with a disability*** is a person who:

- Has a physical or mental impairment that substantially limits one or more major life activities (major life activity may include walking, breathing, speaking, performing manual task, seeing, hearing, learning, caring for oneself, sitting, standing, lifting, or reading);
- Has a record of such an impairment; or
- Is regarded as having such an impairment.

Please take the above definition into consideration and answer the following questions with respect to Applicant/Employee/Participant's request for reasonable accommodation:

1. Does the individual have an impairment that limits a major life activity? ☐ YES ☐ NO

If yes, please see the reverse side of this form to describe the limitation.

2. Is the disability permanent? ☐ YES ☐ NO Length of anticipated duration _____

3. From the enclosed job description, specify the job duty that the employee cannot perform _____

4. How does the limitation(s), impair the ability of the Applicant/Employee/Participant to perform the job duty described above?

PHYSICIAN'S SIGNATURE

DATE

PHONE

COUNTY OF SCHOHARIE
REASONABLE ACCOMMODATION
REQUEST REVIEW FORM

This form is to be completed in full by the department and returned to the _____.

Requester's Name: _____ **Date Request Received** _____

Currently employed by the County? Yes _____ No _____

Type of functional limitation: _____

Indicate the purpose for requesting accommodation: _____

Describe the accommodation being requested _____

Indicate the essential functions of the job or program/activity: _____

Was a Request for Medical Information Form sent to the applicant's physician/medical provider/vocational/rehabilitation counselor?

No _____ Yes _____

The medical information provided the County was reviewed by (name): _____

Can the person perform the essential functions of the job/program/activity when provided a reasonable accommodation?

No _____ Yes _____

List the accommodation options that overcome the limitations: _____

What steps were taken to determine the effectiveness and feasibility of the proposed accommodations? _____

REQUEST FOR REASONABLE ACCOMMODATION:

GRANTED _____ **DENIED** _____

If granted, indicate what accommodation will be provided. If denied, explain the rationale for this decision.: _____

Date of completion of Request Review: _____

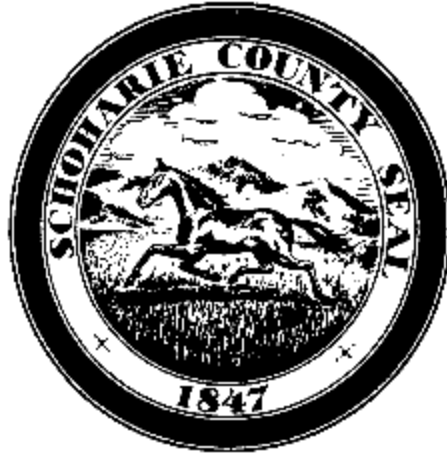
Staff person responding to Reasonable Accommodation Request:

Name: _____ **Telephone:** _____

Title: _____

Signature: _____

(Dept. Head)



Appendix E

Discriminatory Harassment

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DISCRIMINATORY HARASSMENT POLICY AND COMPLAINT PROCEDURE

I. PURPOSE:

- A. It is the policy of the County of Schoharie ("County") to provide and maintain a work environment which is free from unlawful discrimination based on sex (with or without sexual conduct), race, color, religion, national origin, age, disability, sexual orientation and any other class protected by law (collectively referred to as "discriminatory harassment" or "harassment"). Harassment based on these characteristics is a form of unlawful discrimination and is prohibited in each and every work environment and each and every situation which directly impacts the work environment.
- B. The County will take appropriate steps to prevent and correct unlawful harassment and discrimination as defined by both federal and state law. The federal laws include Title VII of the Civil Rights Act, the Age Discrimination in Employment Act, and the Americans with Disabilities Act. The state law is the New York State Human Rights Law.

II. POLICY:

The County considers discriminatory harassment to be a form of employee misconduct and considers this type of misconduct to be a serious offense which will not be tolerated. Allegations of harassment will be investigated thoroughly and if substantiated, will be met with appropriate corrective and/or disciplinary action commensurate with the seriousness of the offense(s), and in accordance with the parameters of applicable collective bargaining agreements and/or state law.

III. DEFINITIONS:

- A. Sexual harassment is defined as:

Unwelcome sexual advances, request for sexual favors, and other verbal or physical conduct of a sexual nature when:

- 1. Submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment (e.g., promotion, training, assignments, etc. . .);
- 2. Submission to or rejection of such conduct by an individual is used as a basis for employment decisions (e.g., hiring, evaluation, promotion) affecting such individual;
or
- 3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Examples of specific behaviors that may be considered sexual harassment include, but are not limited to:

- Spoken or written words related to an employee's sex
 - Any sexual advance that is unwelcome
 - Sexually oriented comments
 - Showing or displaying pornographic or sexually explicit objects or pictures in the workplace
 - Offensive touching, patting or pinching
 - Requests for sexual acts or favors
 - Abusing the dignity of an employee through insulting or degrading sexual remarks or conduct
 - Threats, demands or suggestions that an employee's work status is contingent upon her/his toleration of or acquiescence to sexual advances
 - Subtle pressure for sexual activities
 - Leering at a person

Sexual harassment is gender neutral and may involve members of the same or different gender.

B. Other unlawful harassment:

Harassment on the basis of any other protected characteristic is also prohibited. Under this policy, prohibited harassment is verbal or physical conduct that is offensive to or shows hostility or aversion toward an individual because of his/her race, color, religion, national origin, age, disability, sexual orientation or marital status (and any other class protected by law), and that: (i) has the purpose or effect of creating an intimidating, hostile or offensive work environment; (ii) has the purpose or effect of unreasonably interfering with an individual's work performance; or (iii) otherwise adversely affects an individual's employment opportunities.

Harassing conduct includes, but is not limited to: epithets, slurs or negative stereotyping; threatening, intimidating or hostile acts; denigrating jokes and display or circulation in the workplace (including through e-mail) of written or graphic material that denigrates or shows hostility or aversion toward an individual or group, based on an individual's protected class.

C. Individuals and conduct covered:

This policy applies to all applicants and employees of the County and prohibits harassment, discrimination and retaliation whether engaged in by fellow employees, by a supervisor or manager or by someone not directly connected to the County (e.g., an outside

vendor, consultant or citizen).

Conduct prohibited by these policies is unacceptable in the workplace and in any work-related setting outside the workplace, such as during business trips, business meetings, and business-related social events.

D. Other unacceptable conduct:

This policy also prohibits conduct of one employee toward another that may not rise to the level of discrimination or harassment in violation of the law, but nonetheless creates a degree of hostility or intimidation that adversely affects the work environment. Teasing, ridicule, and other conduct intended to annoy, personally attack, belittle or embarrass another individual is inappropriate and also unacceptable in the workplace. Therefore, the County encourages the use of its complaint procedure by employees who believe they have been subject to inappropriate conduct by another employee, even if such conduct may not be harassment or discrimination per se. The County endeavors to create an environment in which employees may feel free to raise concerns and are confident that those concerns will be addressed.

IV. PROCEDURE:

A. REPORTING HARASSMENT

1. If an individual is subjected to a situation which he/she believes constitutes discriminatory harassment in violation of this Policy, the County recommends that the employee confront the harasser directly and advise the harasser that his/her behavior is not welcomed and will not be tolerated; note that neither this policy nor state/federal law requires that an individual tell an alleged harasser to stop his/her actions. Employees should feel free to keep written records of any alleged sexual harassment incidents, including the date, time, location, names of people involved, witnesses (if any), and who said or did what to whom.
2. If an alleged incident of harassment cannot be resolved directly between the parties involved, a written or verbal complaint should be filed by the affected employee with the employee's immediate supervisor. In the event the employee does not believe it would be appropriate to file the complaint with the immediate supervisor, it may be filed directly to the Personnel Officer. Complaints filed against the Personnel Officer can go directly to the County Attorney.
3. All harassment complaints will be investigated as promptly as possible and resolved within a reasonable time after the receipt of the complaint. The Personnel Officer will coordinate an investigation of the complaint. Following the investigation, the Personnel Officer shall issue a written report of findings and conclusions to the County Attorney.
4. Thereafter, an initial determination on the complaint will be issued from the Personnel Officer and results communicated, in writing, back to the complainant (*see §IV. B, below*).

5. Retaliation against any individual making a harassment complaint or assisting in the investigation of such a complaint is strictly forbidden. Retaliation, like discrimination and harassment, is against the law and is a serious violation of this Policy. Employees who retaliate against other employees who complain about harassment and/or participate in investigation of harassment will be subject to disciplinary action.

B. APPEAL PROCEDURE

1. In the event the Personnel Officer determines that the incident(s) reported do(es) not constitute unlawful discriminatory harassment as defined in this Policy, the employee who filed the complaint may appeal the initial determination to _____ for a final determination.
2. In the event that an appeal is filed with _____, the appeal shall be reviewed by _____ or his/her designee. The _____ may obtain additional information if necessary including meeting with the complainant. Thereafter, the _____ or his/her designee will issue a decision within thirty (30) work days after receipt of the appeal.
3. If no appeal is taken within thirty (30) calendar days from the date of the Personnel Officer's initial determination, said determination will constitute the final determination in the matter.

C. MISCELLANEOUS

1. In the event a complaint of discriminatory harassment is determined to be founded, the County will take disciplinary action in accordance with the provisions of applicable collective bargaining agreements and/or state law, if applicable.
2. If disciplinary charges are filed against an employee on the grounds that the County has determined the employee is guilty of unlawful harassment, the accused employee may exercise his/her rights through the disciplinary procedure provided for in his/her collective bargaining agreement and/or state law, if applicable.
3. Reporting of a false complaint is a serious act. In the event it is found that the individual bringing the complaint has knowingly made false accusations, the County will take appropriate action in accordance with the provisions of the applicable collective bargaining agreement and/or state law, if applicable.
4. All information gathered during an investigation of a harassment complaint will be handled in a confidential manner, to the extent possible.
5. Retaliation against any individual making a harassment complaint or assisting in the investigation of such a complaint is forbidden. Retaliation is a serious violation of this policy which may result in disciplinary action.
6. This Policy does not preclude the filing of discriminatory harassment complaints with either the New York State Division of Human Rights or the Federal Equal

Employment Opportunity Commission, or the pursuing of any other remedies as permitted by law.

D. RESPONSIBILITIES OF MANAGERS/SUPERVISORS

1. All managerial and supervisory personnel of the County shall be responsible for enforcing this Policy and shall have particular responsibility for ensuring that the work environment under their supervision is free from discriminatory harassment and its effects. Failure of a manager or supervisor to comply with this responsibility may result in disciplinary action.
2. All managerial and supervisory personnel who receive discriminatory harassment complaints will be responsible for immediately forwarding such complaints to the Personnel Officer.
3. The County will conduct periodic training for managerial and supervisory personnel in each Department of the County on the issues surrounding discriminatory harassment, its effects and its appearances, and the role and responsibility of managerial/supervisory personnel in preventing incidents of harassment complaints.
4. The County shall distribute this Policy to all County employees and all others covered by its parameters. Copies of this Policy will be distributed to new employees as they are hired.
5. Copies of this Policy will be conspicuously posted.

Attachments: Harassment Complaint Form Notice
of Resolution of Complaint Notice
of Withdrawal of Complaint

DISCRIMINATORY HARASSMENT COMPLAINT FORM:
(Submit to Department Head and/or Personnel Officer)

This form may be used to file a charge of harassment which is a form of discrimination prohibited by federal law, the New York State Human Rights Law and County Policy.

It in no way deprives you of the right to file a complaint with the U.S. Equal Employment Opportunity Commission, New York State Division of Human Rights, or the Federal/State courts.

(PLEASE PRINT OR TYPE)

1. Name _____ Phone Number _____
Residence _____
Mailing Address (if different from residence) _____
City _____ State _____ Zip Code _____

2. Department that you work in _____

3. (a) Have you filed this charge with a Federal, State or local government agency?
YES/NO: _____ When _____ Where _____
(Month/Day/Year)

(b) Have you instituted a suit or court action on this charge?
YES/NO: _____ When _____ Where _____
(Month/Day/Year)

(AN AFFIRMATIVE REPLY TO THIS QUESTION WILL IN NO WAY STOP A
COUNTY REVIEW OF YOUR COMPLAINT)

4. Alleged Discrimination Occurred on or about:
Month: _____ Day: _____ Year: _____ Time: _____
Is this alleged discrimination continuing: YES _____ NO _____
Describe the alleged act of harassment. Use **additional sheets if necessary**.

5. Indicate the name(s) of the alleged harasser(s): _____

6. State the name(s) of any potential witness(es): _____

7. I swear or affirm that I have read the above related facts and that the statements are true and correct to the best of my knowledge, information and belief.

Date: _____

(sign your name)

-INFORMATION PROVIDED WILL BE CONFIDENTIALLY MAINTAINED TO
THE EXTENT PERMITTED-

NOTICE OF RESOLUTION OF COMPLAINT OF DISCRIMINATORY HARASSMENT

COMPLAINANT'S NAME: _____

WORK SITE: _____

DATE COMPLAINT FILED: _____

PERSON COMPLAINED OF: _____

TITLE AND DEPARTMENT: RESOLUTION: _____

RESOLUTION: _____

BY SIGNING BELOW, ALL PARTIES SIGNIFY THAT THEY AGREE TO THE TERMS BY WHICH THIS COMPLAINT WAS RESOLVED AND FURTHER AGREE THAT NO FURTHER INTERNAL ACTION IS REQUIRED ON THIS COMPLAINT.

COMPLAINANT _____ DATE _____

PERSON COMPLAINED OF _____ DATE _____

DEPARTMENT HEAD _____ DATE _____

COUNTY ADMINISTRATOR _____ DATE _____

**NOTICE OF WITHDRAWAL OF COMPLAINT OF DISCRIMINATORY
HARASSMENT**

COMPLAINANT'S NAME: _____

TITLE AND DEPARTMENT: _____

DATE COMPLAINT FILED: _____

DEPARTMENT HEAD NOTIFIED: _____

I hereby withdraw this complaint and agree that no further internal action is required on it.

Complainant's Signature

Date

cc: Personnel Officer



Appendix F

Code of Ethics

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Model Code of Ethics for Local Governments

WHEREAS, article 18 of the General Municipal Law prohibits the officers and employees of a municipality from having certain conflicts of interest, and

WHEREAS section 806 of the General Municipal Law requires the governing body of each county, city (other than the City of New York), town, village, school district and fire district¹ to adopt a code of ethics that sets forth for the guidance of its officers and employees standards of conduct reasonably expected of them, and

WHEREAS section 806 of the General Municipal Law also authorizes the governing body of any other municipality to adopt such a code of ethics, and

WHEREAS, a code of ethics adopted by the governing body of a municipality must set forth standards of conduct for the guidance of the officers and employees of the municipality with respect to disclosure of interests in legislation before the local governing body, holding of investments in conflict with official duties, private employment in conflict with official duties, future employment, and such other standards as may be deemed advisable.

NOW, THEREFORE, be it resolved that the Board of Supervisors of the County of Schoharie hereby adopts a code of ethics to read as follows:

Code of Ethics of the County of Schoharie

Section 1. Purpose.

Officers and employees of the County of Schoharie hold their positions to serve and benefit the public, and not for obtaining unwarranted personal or private gain in the exercise and performance of their official powers and duties. The Board of Supervisors recognizes that, in furtherance of this fundamental principle, there is a need for clear and reasonable standards of ethical conduct. This code of ethics establishes those standards.

Section 2. Definitions.

(a) “Board” means the governing board of a municipality and any municipal administrative board (e.g. planning board, zoning or board of appeals), commission, or other agency or body comprised of two or more municipal officers or employees.

(b) “Code” means this code of ethics.

¹ This model code of ethics is for use by municipalities other than fire districts. The State Comptroller has promulgated a separate model code of ethics for fire districts.

(c) “Interest” means a direct or indirect financial or material benefit, but does not include any benefit arising from the provision or receipt of any services generally available to the residents or taxpayers of the municipality or an area of the municipality, or a lawful class of such residents or taxpayers. A municipal officer or employee is deemed to have an interest in any private organization when he or she, his or her spouse, or a member of his or her household, is an owner, partner, member, director, officer, employee, or directly or indirectly owns or controls more than 5% of the organization’s outstanding stock.

(d) “Municipality” means County of Schoharie. The word “municipal” refers to the municipality.

(e) “Municipal officer or employee” means a paid or unpaid officer or employee of the County of Schoharie , including, but not limited to, the members of any municipal board.

(f) “Relative” means a spouse, parent, step-parent, sibling, step-sibling, sibling’s spouse, child, step-child, uncle, aunt, nephew, niece, first cousin, or household member of a municipal officer or employee, and individuals having any of these relationships to the spouse of the officer or employee.

Section 3. Applicability.

This code of ethics applies to the officers and employees of the County of Schoharie , and shall supersede any prior municipal code of ethics. The provisions of this code of ethics shall apply in addition to all applicable State and local laws relating to conflicts of interest and ethics including, but not limited to, article 18 of the General Municipal Law and all rules, regulations, policies and procedures of the County of Schoharie.

Section 4. Prohibition on use of municipal position for personal or private gain.

No municipal officer or employee shall use his or her municipal position or official powers and duties to secure a financial or material benefit for himself or herself, a relative, or any private organization in which he or she is deemed to have an interest.

Section 5. Disclosure of interest in legislation and other matters.

(a) Whenever a matter requiring the exercise of discretion comes before a municipal officer or employee, either individually or as a member of a board, and disposition of the matter could result in a direct or indirect financial or material benefit to himself or herself, a relative, or any private organization in which he or she is deemed to have an interest, the municipal officer or employee shall disclose in writing the nature of the interest.

(b) The disclosure shall be made when the matter requiring disclosure first comes before the municipal officer or employee, or when the municipal officer or employee first acquires knowledge of the interest requiring disclosure, whichever is earlier.

(c) In the case of a person serving in an elective office, the disclosure shall be filed with the governing board of the municipality. In all other cases, the disclosure shall be filed with the person's supervisor or, if the person does not have a supervisor, the disclosure shall be filed with the municipal officer, employee or board having the power to appoint to the person's position. In addition, in the case of a person serving on a municipal board, a copy of the disclosure shall be filed with the board. Any disclosure made to a board shall be made publicly at a meeting of the board and must be included in the minutes of the meeting.

Section 6. Recusal and abstention.

(a) No municipal officer or employee may participate in any decision or take any official action with respect to any matter requiring the exercise of discretion, including discussing the matter and voting on it, when he or she knows or has reason to know that the action could confer a direct or indirect financial or material benefit on himself or herself, a relative, or any private organization in which he or she is deemed to have an interest.

(b) In the event that this section prohibits a municipal officer or employee from exercising or performing a power or duty:

(1) if the power or duty is vested in a municipal officer as a member of a board, then the power or duty shall be exercised or performed by the other members of the board; or

(2) if the power or duty that is vested in a municipal officer individually, then the power or duty shall be exercised or performed by his or her deputy or, if the officer does not have a deputy, the power or duty shall be performed by another person to whom the officer may lawfully delegate the function.

(3) if the power or duty is vested in a municipal employee, he or she must refer the matter to his or her immediate supervisor, and the immediate supervisor shall designate another person to exercise or perform the power or duty.

Section 7. Prohibition inapplicable; disclosure, recusal and abstention not required.

(a) This code's prohibition on use of a municipal position (section 4), disclosure requirements (section 5), and requirements relating to recusal and abstention (section 6), shall not apply with respect to the following matters:

(1) adoption of the municipality's annual budget;

(2) any matter requiring the exercise of discretion that directly affects any of the following groups of people or a lawful class of such groups:

(i) all municipal officers or employees;

(ii) all residents or taxpayers of the municipality or an area of the municipality; or

(iii) the general public; or

(3) any matter that does not require the exercise of discretion.

(b) Recusal and abstention shall not be required with respect to any matter:

(1) which comes before a board when a majority of the board's total membership would otherwise be prohibited from acting by section 6 of this code;

(2) which comes before a municipal officer when the officer would be prohibited from acting by section 6 of this code and the matter cannot be lawfully delegated to another person.

Section 8. Investments in conflict with official duties.

(a) No municipal officer or employee may acquire the following investments:

(1) investments that can be reasonably expected to require more than sporadic recusal and abstention under section 6 of this code; or

(2) investments that would otherwise impair the person's independence of judgment in the exercise or performance of his or her official powers and duties.

(b) This section does not prohibit a municipal officer or employee from acquiring any other investments or the following assets:

(1) real property located within the municipality and used as his or her personal residence;

(2) less than five percent of the stock of a publicly traded corporation; or

(3) bonds or notes issued by the municipality and acquired more than one year after the date on which the bonds or notes were originally issued.

Section 9. Private employment in conflict with official duties.

No municipal officer or employee, during his or her tenure as a municipal officer or employee, may engage in any private employment, including the rendition of any business, commercial, professional or other types of services, when the employment:

(a) can be reasonably expected to require more than sporadic recusal and abstention pursuant to section 6 of this code;

(b) can be reasonably expected to require disclosure or use of confidential information gained by reason of serving as a municipal officer or employee;

(c) violates section 805-a(1)(c) or (d) of the General Municipal Law; or

(d) requires representation of a person or organization other than the municipality in connection with litigation, negotiations or any other matter to which the municipality is a party.

Section 10. Future employment.

(a) No municipal officer or employee may ask for, pursue or accept a private post-government employment opportunity with any person or organization that has a matter requiring the exercise of discretion pending before the municipal officer or employee, either individually or as a member of a board, while the matter is pending or within the 30 days following final disposition of the matter.

(b) No municipal officer or employee, for the two-year period after serving as a municipal officer or employee, may represent or render services to a private person or organization in connection with any matter involving the exercise of discretion before the municipal office, board, department or comparable organizational unit for which he or she serves.

(c) No municipal officer or employee, at any time after serving as a municipal officer or employee, may represent or render services to a private person or organization in connection with any particular transaction in which he or she personally and substantially participated while serving as a municipal officer or employee.

Section 11. Personal representations and claims permitted.

This code shall not be construed as prohibiting a municipal officer or employee from:

(a) representing himself or herself, or his or her spouse or minor children before the municipality; or

(b) asserting a claim against the municipality on his or her own behalf, or on behalf of his or her spouse or minor children.

Section 12. Use of municipal resources

(a) Municipal resources shall be used for lawful municipal purposes. Municipal resources include, but are not limited to, municipal personnel, and the municipality's money, vehicles, equipment, materials, supplies or other property.

(b) No municipal officer or employee may use or permit the use of municipal resources for personal or private purposes, but this provision shall not be construed as prohibiting:

(1) any use of municipal resources authorized by law or municipal policy;

(2) the use of municipal resources for personal or private purposes when provided to a municipal officer or employee as part of his or her compensation; or

(3) the occasional and incidental use during the business day of municipal telephones and computers for necessary personal matters such as family care and changes in work schedule.

(c) No municipal officer or employee shall cause the municipality to spend more than is reasonably necessary for transportation, meals or lodging in connection with official travel.

Section 13. Interests in Contracts.

(a) No municipal officer or employee may have an interest in a contract that is prohibited by section 801 of the General Municipal Law.

(b) Every municipal officer and employee shall disclose interests in contracts with the municipality at the time and in the manner required by section 803 of the General Municipal Law.

Section 14. Nepotism.

Except as otherwise required by law:

(a) No municipal officer or employee, either individually or as a member of a board, may participate in any decision specifically to appoint, hire, promote, discipline or discharge a relative for any position at, for or within the municipality or a municipal board.

(b) No municipal officer or employee may supervise a relative in the performance of the relative's official powers or duties.

Section 15. Political Solicitations.

(a) No municipal officer or employee shall directly or indirectly to compel or induce a subordinate municipal officer or employee to make, or promise to make, any political contribution, whether by gift of money, service or other thing of value.

(b) No municipal officer or employee may act or decline to act in relation to appointing, hiring or promoting, discharging, disciplining, or in any manner changing the official rank, status or compensation of any municipal officer or employee, or an applicant for a position as a municipal officer or employee, on the basis of the giving or withholding or neglecting to make any contribution of money or service or any other valuable thing for any political purpose.

Section 16. Confidential Information.

No municipal officer or employee who acquires confidential information in the course of exercising or performing his or her official powers or duties may disclose or use such information unless the disclosure or use is required by law or in the course of exercising or performing his or her official powers and duties.

Section 17. Gifts.

(a) No municipal officer or employee shall solicit, accept or receive a gift in violation of section 805-a(1)(a) of the General Municipal Law as interpreted in this section.

(b) No municipal officer or employee may directly or indirectly solicit any gift.

(c) No municipal officer or employee may accept or receive any gift, or multiple gifts from the same donor, having an annual aggregate value of seventy-five dollars or more when:

(1) the gift reasonably appears to be intended to influence the officer or employee in the exercise or performance of his or her official powers or duties;

(2) the gift could reasonably be expected to influence the officer or employee in the exercise or performance of his or her official powers or duties; or

(3) the gift is intended as a reward for any official action on the part of the officer or employee.

(d) For purposes of this section, a “gift” includes anything of value, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form. The value of a gift is the gift’s fair market value, determined by the retail cost of the item or a comparable item. The fair market value of a ticket entitling the holder to food, refreshments, entertainment, or any other benefit is the face value of the ticket, or the actual cost to the donor, whichever is greater. Determination of whether multiple gifts from a single donor exceed seventy-five dollars must be made by adding together the value of all gifts received from the donor by an officer or employee during the twelve-month period preceding the receipt of the most recent gift.

(e) (1) A gift to a municipal officer or employee is presumed to be intended to influence the exercise or performance of his or her official powers or duties when the gift is from a private person or organization that seeks municipal action involving the exercise of discretion by or with the participation of the officer or employee.

(2) A gift to a municipal officer or employee is presumed to be intended as a reward for official action when the gift is from a private person or organization that has obtained municipal action involving the exercise of discretion by or with the participation of the officer or employee during the preceding twelve months.

(f) This section does not prohibit any other gift, including:

(1) gifts made to the municipality;

(2) gifts from a person with a family or personal relationship with the officer or employee when the circumstances make it clear that the personal relationship, rather than the recipient's status as a municipal officer or employee, is the primary motivating factor for the gift;

(3) gifts given on special occasions, such as marriage, illness, or retirement, which are modest, reasonable and customary;

(4) unsolicited advertising or promotional material of little intrinsic value, such as pens, pencils, note pads, and calendars;

(5) awards and plaques having a value of seventy-five dollars or less which are publicly presented in recognition of service as a municipal officer or employee, or other service to the community; or

(6) meals and refreshments provided when a municipal officer or employee is a speaker or participant at a job-related professional or educational conference or program and the meals and refreshments are made available to all participants.

Section 18. Board of Ethics.

(a) There is hereby established a board of ethics for the municipality. The board of ethics shall consist of five members, a majority of whom shall not be officers or employees of the municipality, but at least one of whom must be a municipal officer or employee. The members of such board of ethics shall be appointed by the [insert name of municipal governing body²], serve at the pleasure of the appointing authority, and receive no salary or compensation for their services as members of the board of ethics.

(b) The board of ethics shall render advisory opinions to the officers and employees of the County of Schoharie with respect to article 18 of the General Municipal Law and this code. Such advisory opinions must be rendered pursuant to the written request of any such officer or employee under such rules and regulations as the board of ethics may prescribe. The board of ethics shall have the advice of legal counsel employed by the board, or if none, the municipality's legal counsel. In addition, the board of ethics may make recommendations with respect to the drafting and adoption of a code of ethics, or amendments thereto, upon the request of the Board of Supervisors.

Section 19. Posting and distribution.

(a) The County Administrator must promptly cause a copy of this code, and a copy of any amendment to this code, to be posted publicly and conspicuously in each building under the municipality's control. The code must be posted within ten days following the date on which the code takes effect. An amendment to the code must be posted within ten days following the date on which the amendment takes effect.

² In the case of a county operating under an optional or alternative form of county government or county charter, insert the "county executive" or "county manager," as the case may be, "subject to confirmation by the [insert name of county governing body]."

(b) The County Administrator must promptly cause a copy of this code, including any amendments to the code, to be distributed to every person who is or becomes an officer and employee of the County of Schoharie.

(c) Every municipal officer or employee who receives a copy of this code or an amendment to the code must acknowledge such receipt in writing. Such acknowledgments must be filed with the Clerk of the Board who must maintain such acknowledgments as a public record.

(d) The failure to post this code or an amendment to the code does not affect either the applicability or enforceability of the code or the amendment. The failure of a municipal officer or employee to receive a copy of this code of ethics or an amendment to the code, or to acknowledge receipt thereof in writing, does not affect either the applicability or enforceability of the code or amendment to the code.

Section 20. Enforcement.

Any municipal officer or employee who violates this code may be censured, fined, suspended or removed from office or employment in the manner provided by law.

Section 21. Effective date.

This code takes effect on September 20, 2015.

The Schoharie County Board of Supervisors, pursuant to Article 18 of the General Municipal Law, hereby establishes the Schoharie County Board of Ethics consisting of five members.

SCHOHARIE COUNTY ETHICS BOARD MEMBERSHIP

1. Four members of the Board shall consist of members who are not officials, officers or employees of the County of Schoharie nor municipalities wholly or partially located within the County.
2. One member of the Board shall be an elected or appointed officer or employee of Schoharie County.
3. All Board members shall reside in Schoharie County.
4. Members of the Board shall receive no salary or compensation for their services on the Board but shall be reimbursed for reasonable and necessary expenses in connection with their services in accordance with policies applicable to County officers and employees as established by the County Board of Supervisors.
5. Members shall be appointed by a two-thirds (2/3) vote of the Schoharie County Board of Supervisors.
6. Members shall be construed under this law as subject to all the applicable ethics requirements of Schoharie County.

TERMS OF APPOINTMENT

1. Members shall serve staggered three-year terms provided, however, that initial appointment to the Board shall be as follows:
 - a. One member to a term expiring on _____
 - b. Two members to a term expiring on _____
 - c. Two members to a term expiring on _____

Provided further that each member shall holdover and serve until his or her successor has been appointed.

2. The County Board of Supervisors shall make initial appointments as soon as practicable after enactment of this local law, and subsequent appointments on or before **** of each calendar year thereafter.

3. When a vacancy occurs during a member's term, it shall be filled as soon as possible for the unexpired portion of the respective term in the same manner as the original appointment.

REMOVAL OF ETHICS BOARD MEMBERS

1. An ethics board member may be removed by the County Board of Supervisors after written notice and an opportunity to reply.
2. Grounds for removal of ethics board members will be substantial neglect of duty, gross misconduct in office, inability to discharge the powers or duties of office, conviction of a crime or similar acts or omissions.
3. Notwithstanding the provisions of subdivision 1 above, a member shall automatically forfeit his or her office upon conviction of a felony as of the date thereof.

SCHOHARIE COUNTY ETHICS BOARD MEETINGS AND QUORUM REQUIREMENT

1. At its first meeting each year, the Board of Ethics shall elect a chair from among its membership. Three members of the board shall constitute a quorum. A vote of at least three board members on the same side of a question shall be required for the board to take any action. The chair or any two members may call a meeting of the board.
2. The Board of Ethics shall make a determination on all ethical and related matters referred to it by the Board of Supervisors or County Attorney, and report its determination to the Board of Supervisors.
3. The Board of Ethics shall have authority to promulgate rules and regulations in furtherance of its powers and duties enumerated herein.
4. The Board of Ethics shall render advisory opinions to County officers and employees with respect to Article 18 of the General Municipal Law and the County Code of Ethics adopted pursuant hereto. Such advisory opinions shall be rendered pursuant to the written request of any such officer or employee under such rules and regulations as the board may prescribe and shall have the advice of counsel employed by the board, or in none, the county attorney. In addition, it may make recommendations with respect to the drafting and adoption of any amendments to the County Code of Ethics upon the request of the County Board of Supervisors.
5. Advisory opinions concerning particular officers, employees or officials shall not be made public or disclosed unless so required by the Freedom of Information Law (Public Officers Law Article 6) or required for use in a disciplinary proceeding, or proceeding under this Local Law involving the officer, employee or appointed official who requested the advisory opinion. Whenever a request for access to an advisory opinion herein is

received, the officer, employee or appointed official who requested the opinion shall be notified of the request within forty-eight (48) hours of the receipt of the request. Nothing contained herein shall prohibit the issuance of general advisory opinions for the guidance of reporting individuals.

6. The Schoharie County Attorney shall serve as counsel to the Board of Ethics.
7. The Ethics Board shall be empowered to request support staff assistance from the County Board of Supervisors to facilitate the performance of its duties and responsibilities.
8. At the request of its municipal board, the County Board of Ethics may act as an ethics board to any municipality located within the County with respect to Article 18 of the General Municipal Law and any code of ethics adopted by such municipality pursuant thereto.

BOARD OF ETHICS POWERS AND DUTIES

The Board of Ethics shall:

1. Confidentially review, index, maintain on file and legitimately dispose of complaints, make notifications and referrals and conduct investigations as referred by the Schoharie County Attorney.
2. Confidentially conduct hearings, recommend disciplinary action, and make referrals and initiate appropriate actions and proceedings as referred by the Schoharie County Attorney.
3. Provide training and education, including education materials on the requirements of this law.
4. Prepare an annual report and periodically review the requirements of this law and recommend changes.
5. Provide for public inspection of certain records of the Board while maintaining confidentiality of all records to the extent allowable by law.

REVIEW OF COMPLAINTS AND QUESTIONS

1. The Board of Ethics shall upon the written request of any individual, receive, review and hear all signed complaints that the Board determines to have merit alleging violations of

this chapter. Any such complaint must be signed by the individual complainant and must include his/her address and telephone number.

2. Complaints from any person will be received in the following manner: A signed written complaint in the above form should be delivered to the County Attorney who, if unable to resolve the complaint to the satisfaction of the complainant, shall refer the complaint to the Board of Ethics or to the Chair of the Board of Ethics if the complainant so prefers.
3. Nothing in this section shall be construed to permit the Board of Ethics to conduct an investigation of itself or of any of its members or staff. If the Board receives a complaint alleging that the Board or any of its members or staff has violated any provision of this law, or any other law, the Board shall promptly transmit to the Schoharie County Board of Supervisors a copy of the complaint.
4. The Board of Ethics shall state in writing the disposition of every complaint it receives and of every investigation it conducts and shall set forth the reasons for the disposition. All such statements and all complaints shall be indexed and maintained on file by the Board.
5. All investigations will be conducted confidentially to the extent allowable by law.
6. Any person filing a complaint with the Schoharie County Attorney and where there is a referral to the Board of Ethics, the Board of Ethics shall notify all affected parties in writing of the disposition of the complaint.

IMPOSITION OF PENALTIES

The Schoharie County Board of Ethics shall file any report of findings with the county Attorney who may proceed with necessary actions to bring appropriate disciplinary action or civil penalties in accordance with this law to the Schoharie County Board of Supervisors. That recommendation shall be public.

APPLICABILITY; SEVERABILITY

1. This law shall be construed so as to comply with the applicable provisions of Article 18 of the General Municipal Law.
2. If any provision of this act is held by a court of competent jurisdiction to be invalid, that decision shall not affect the validity and effectiveness of the remaining provisions of the act.

DISTRIBUTION AND POSTING

Within sixty days after the effective date of this act, the Chairman of the County Board of Supervisors shall cause a copy of this act to be made available to every county elected official, county officer and employee, shall make it available to the public and shall post a copy of this act. Every officer and employee elected or appointed thereafter shall be furnished a copy of this act within ten days after entering upon the duties of his or her position.

EFFECTIVE DATE

This act shall take effect immediately upon filing with the Department of State as required by Law.



Appendix G

Social Media

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SOCIAL MEDIA USE POLICY
COUNTY OF SCHOHARIE
STATE OF NEW YORK

A. Policy Statement

The County of Schoharie has a business need to augment traditional communication methods with the use of social media channels. This need primarily stems from public demand and the rapid growth of social media use by other local, state and federal government entities as an indication that social media can be used effectively to enhance constituent communications. The use of social media presents opportunity and risk to individual County agencies and departments, as well as the County as a whole. In general, Schoharie County supports the use of social media technology to enhance communication, collaboration and information exchange to meet business mission and goals.

This document establishes countywide social media use policies, protocols and procedures intended to mitigate associated risks from use of this technology where possible. Should Schoharie County change its direction on social media use, this policy will be revised, social media activity shall be adjusted accordingly.

B. Policy Scope

This policy applies to all Schoharie County employees and approved volunteers, consultants, service providers and contractors performing business on behalf of a County agency/department.

Agencies/Departments using social media technology prior to the implementation of the Schoharie County Social Media Use Policy shall achieve full policy compliance within 90 days of the effective date of this document.

C. Responsibility

The Schoharie County Board of Supervisor's Chairman, or his/her designee, is responsible for facilitating the Schoharie County Social Media Use Policy in compliance with established rules and protocols. This includes responsibility to audit agency/department use of social media and enforce policy compliance.

Within the terms of this policy, Department Heads have authority to determine and establish social media activity at the agency/department program level.

D. Definitions

1. Social Media Network(s)/ Site(s) – An online service or site that focuses on building social networks or social relations among people, and permits users of the site to share information, interact and communicate with each other.

2. Approved Social Media Site(s) – An online service or site sponsored by Schoharie County permitting information exchange, interaction and communication between the public and Schoharie County, its Agencies and/or Departments.

E. Policy

1. Department use of social media technology shall conform to the policies, protocols and procedures contained, or referenced, herein.
2. A Department's decision to embrace social media shall be a risk-based business decision approved by the Department Head and supported by a strong business case that considers the Department's mission and goals, audience, legal risks, technical capabilities and potential benefits.
3. Access to social media networks from within Schoharie County's IT infrastructure is limited to individuals performing official County business and to agencies/departments with sufficient information and technology security controls.
4. Department Heads are ultimately responsible for determining who is authorized to use social media on behalf of the department, and for designating appropriate access levels, while maintaining ultimate account ownership.
5. Departments shall only utilize Schoharie County approved social media networks for hosting official County social media sites.

6. Schoharie County Department social media sites shall be created and maintained in accordance with Schoharie County social network usage standards and with identifiable characteristics of an official County site.
7. Departments are responsible for establishing, maintaining and monitoring the activity on the social media sites, and shall follow the measures outlined herein to prevent inappropriate or technically harmful information and links.
8. The same standards, principles and guidelines that apply to Schoharie County employees in the performance of their assigned duties apply to social media technology use on behalf of the County.
9. Department use of social media shall be documented and maintained in an easily accessible format.
10. Department social media sites shall be monitored regularly and prompt corrective action shall be taken when an issue arises that places, or has potential to place Schoharie County at risk.

VI. PROCEDURES

A. Authorized Use of Social Media

- 1) Departments utilizing social media shall:
 - a) Have a strong understanding of the risks associated with using social media.
 - b) Prior to opening an account, consult with the Schoharie County IT Director to assess the risks utilizing a specific County approved social networking site in comparison with the business opportunities expected.
 - c) Implement the security controls recommended by the
 - d) Only access social media networks authorized by the Schoharie County IT Director.
 - e) Comply with all applicable federal, state, and county laws, regulations and policies including, but may not be limited to, copyright, records retention, First Amendment, privacy laws, employment related laws and County policies.
- 2) Department Heads shall designate at least two employees (one primarily authorized user and secondary authorized user) to monitor the Department's social media sites with specified access levels.

- 3) Departments shall determine the appropriate access levels which include identifying what sites, or type of sites, the individual is approved to use, as well as defining capability: publish, edit, comment or view only.
- 4) Only the Department Head and designated employees shall have permission to create, publish or comment on behalf of a County Department.
- 5) Only the Department Head associated with a particular Social Media Site and the County Board of Supervisors Chairman shall have the authority to increase or decrease the access levels to the social media sites.
- 6) The ability to change account credentials shall be the responsibility of the Department Head and not delegated within a Department.
- 7) Authorized users shall be provided a copy of the County's social media policy and are required to acknowledge their understanding and acceptance of this Policy.

B. Approved Social Media Networks

- 1) Departments shall utilize only approved social media networks for hosting official County social media sites.
- 2) County social media sites shall be used only to provide information about County Departments or County related events or programs.
- 3) Social media networks under consideration will be reviewed and approved by the Schoharie County IT Director, along with consultation from the County Attorney and/or Personnel Director if appropriate.
- 4) For each approved social media network, usage standards will be developed and documented by Schoharie County IT to optimize government use of the site in correlation with the County's overall business mission and County Social Media Use Policy.
- 5) The Schoharie County IT Director is responsible for maintaining the list of approved social media networks and site related usage standards.
- 6) Social media networks on the approved list shall be reviewed at least bi-annually for changes to terms of use agreements and/or new/expired offerings or as needed.
- 7) A Department may request review and approval of additional social media networks as needed.

C. Official County Social Media Sites

- 1) County Department social media sites shall be created and maintained in accordance with County social network usage standards and with identifiable characteristics of an official County site.
- 2) County social media network accounts shall be created and maintained using an official County email account, solely owned by the respective Department Head.

- 3) Sites shall contain visible elements that identify them as an official Schoharie County, New York site. Among other items, this includes displaying official County seals, Department brands, contact information and a link to Department websites.

D. Site Content

- 1) Departments are responsible for establishing, monitoring and maintaining content posted to their social media sites and shall have measures in effect to prevent inappropriate or technically harmful information and links.
- 2) Content available through an online source shall:
 - (a) Be deemed of value, useful and appropriate for the general public;
 - (b) Shall use proper grammar and standard AP style whenever possible, avoiding the use of jargon and acronyms that may not be widely understood by the public;
 - (c) Be factual and properly vetted;
 - (d) Be approved by the Department Head, when deemed potentially provocative.
 - (e) County content available through an online source shall not contain, or hyperlink (link) to, information that:
 - i) Threatens, condescends, or degrades any group belonging to a particular race, culture, religion, sex, sexual orientation or political party;
 - ii) Is profane, vulgar, obscene, or sexually explicit;
 - iii) Promotes, fosters or perpetuates discrimination on the basis of race, creed, color, age, religion, gender, marital status, status with regards to public assistance, national origin, physical or mental disability or sexual orientation;
 - iv) Can be classified as confidential, private or proprietary, or can be classified as personal health information under the Health Insurance Portability and Accountability Act (HIPAA);
 - v) May infringe on a third party's copyright or intellectual property rights;
 - vi) Contains a solicitation of commerce;
 - vii) Contains paid advertisements or endorsements, with the exception of a County contracted business lessee;
 - viii) Contains plagiarized material;
 - ix) May be illegal or encourages illegal activity;
 - x) May compromise the safety or security of the public or public systems.
 - xi) Discloses confidential or proprietary information.
- 3) Social media sites are not intended to be used in a manner that guarantees the right to protected free speech. Each Department is responsible for monitoring postings, and taking appropriate action when necessary, to protect general site visitors from inappropriate or technically harmful information and links.
- 4) Sites that allow public comment shall inform visitors of the intended purpose of the site and provide a clear statement of the discussion topic introduced for public comment so that the public is aware of the limited nature of the discussion and that inappropriate posts are subject to removal, including but not limited to the following types of postings regardless of format (text, video, images, links, documents, etc.):

- (a) Comments not topically related;
- (b) Profane language or content;
- (c) Content that promotes, fosters or perpetuates discrimination on the basis of race, creed, color, age, religion, gender, marital status, status with regards to public assistance, national origin, physical or mental disability or sexual orientation;
- (d) Sexual content or links to sexual content;
- (e) Solicitations of commerce;
- (f) Conduct or encouragement of illegal activity;
- (g) Information that may tend to compromise the safety or security of the public or public systems;
- (h) Content that violates a legal ownership interest of any other party.

E. User Behavior

- 1) The same standards, principles and guidelines that apply to Schoharie County employees in the performance of their assigned duties apply to employee social media technology use.
- 2) County workforce members authorized to use social media technology shall do so only within the scope defined by their respective Department and in compliance with all County policies and practices.
- 3) Social media use by County workforce members shall be performed within the County's established Social Media Policy.
- 4) Employees who identify themselves as a county employee on social media platforms must indicate their views are personal and may not reflect Schoharie County opinion.
- 5) Employees performing County social media work beyond normal work hours shall receive pre-authorization from their Department Head.
- 6) Employees shall obey all laws and shall refrain from engaging in partisan political activity when using social media sites on behalf of the County.
- 7) Departments choosing to establish a blog or allow posts from the public on County social network sites, shall prominently display, or provide a link to the County's Social Media Disclaimer and Comment Policy.
- 8) Departments choosing to use public comments shall consult with the County Attorney to develop and document Department-specific disclaimers to meet the County's legal needs. The County Attorney may also be consulted to determine whether to remove comments that violate this policy.
- 9) Schoharie County employees are not to publish, post or release any information that is considered confidential or not public. If there are questions about what is considered confidential, employees should check with the Personnel Department.
- 10) Social media use should not interfere with the employee's job responsibilities. Schoharie County computer systems are to be used for business purposes only. When using Schoharie County computer systems, personal use of social media or

personal blogging of online content is discouraged and could result in disciplinary action.

11) Subject to applicable law, after-hours online activity that violates Schoharie County's Code of Ethics may subject an employee to disciplinary action.

F. Employee Personal Use of Social Media

Schoharie County respects the right of employees to use social media as a medium of self-expression on their personal time. As role models for the community, however, employees are responsible for their public conduct even when they are not performing their job duties as employees of the county. Employees will be held to the same professional standards in their public use of social media and other electronic communications as they are for any other public conduct. Further, county employees remain subject to applicable state and federal laws, even if communicating with others concerning personal and private matters. If an employee's use of social media interferes with the employee's ability to effectively perform his or her job duties, the employee is subject to disciplinary action.

Employees are responsible for the content on their social media sites, including content added by the employee, the employee's friends or members of the public who can access the employee's site, and for Web links on the employee's site.

County employees are prohibited from accessing social networking websites for personal use during working hours

G. PERSONAL POSTING TO SOCIAL MEDIA SITES

Employees who use social media for personal purposes must be aware that the content they post may be viewed by anyone, including community members. Employees shall observe the following principles when communicating through social media:

- 1) Employees shall not post confidential information about other employees or the Schoharie County government.
- 2) Employees shall be professional in all Internet postings related to or referencing the Schoharie County government and other employees.
- 3) Employees shall not use profane, pornographic, obscene, indecent, lewd, vulgar or sexually offensive language, pictures or graphics or other communication that could reasonably be anticipated to cause a substantial disruption to Schoharie County government.
- 4) Employees shall not use the County's official seal or other copyrighted material of the County without express, written consent from the County Board of Supervisors.
- 5) Employees shall not use Internet postings to libel or defame other County employees or County Departments.

- 6) Employees shall not use Internet postings to harass, bully or intimidate other employees in violation of Schoharie County's Discrimination and Harassment policy or state and federal laws.
- 7) Employees shall not post inappropriate content that negatively impacts their ability to perform their jobs.
- 8) Employees shall not use Internet postings to engage in any other conduct that violates County policy or state and federal laws.

H. Account Deactivation

The Schoharie County IT Director reserves the right to monitor and terminate any underutilized social media accounts.

I. Records Management

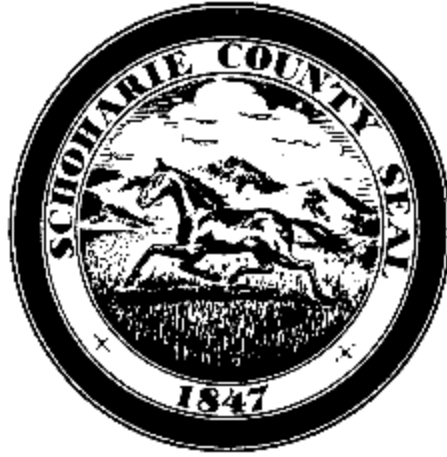
- 1) Departments are responsible for the creation, administration and deactivation of social media accounts.
- 2) Only the Department Head associated with a particular social media site shall have the credentials to control the email access account for the site or social media account. Account password information shall only be shared with authorized staff designated by the Department Head, or her/his designee, to fulfill the role of Site Account Administrator.
- 3) Passwords shall conform to County complex password requirements when permissible.
- 4) Account password shall promptly be reset when an employee is removed as an Account Administrator.
- 5) Departments shall maintain a record of social media sites created for County use, including, but may not be limited to:
 - (a) A log file containing the name of the social media network, account id, password, registered email address, date established, authorizing representative and name of person who created account and agreed to the sites terms of use agreement and/or policy.
 - (b) A record of the sites usage agreement at the time the site was created and any updated versions.
 - (c) A list of authorized site content authors and editors.
- 6) Any content maintained in a social media format that is related to County business, including a list of subscribers and County or public posted communication, may be a public record.
- 7) Schoharie County IT Department shall have procedures in effect to preserve published social media content.
- 8) The Department maintaining the site is responsible for responding completely and accurately to any public records request for public records on social media.
- 9) Site content shall be maintained in accordance with its respective Records Retention Schedule and in accordance with Schoharie County IT policies and procedures. If the

content constitutes a public record, it must be disclosed to the public unless an exemption applies.

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Appendix H

Reasonable Suspicion

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SCHOHARIE COUNTY REASONABLE SUSPICION TESTING FOR DRUGS AND ALCOHOL POLICY

PURPOSE:

To establish guidelines for all County Department Heads and Supervisors in the case of reasonable suspicion that an employee is under the influence of a prohibited drug/substance or alcohol.

POLICY STATEMENT:

In accord with the Drug Free Workplace Policy, the County recognizes its responsibility to maintain a productive, safe and healthy work environments and to protect the safety of its employees, its contractors and the public by assuring that its employees are free from the influence of drugs and alcohol which may affect their physical or mental abilities to perform their duties safely and efficiently. The County directs and enables its Department Heads and Supervisors to act upon reasonable suspicion of prohibited drug and/or alcohol use by its employees.

POLICY:

It is the policy of the County to enable its Department Heads and Supervisors to act in an alert, direct and prompt manner to the reasonable suspicion that an employee is under the influence of drug and/or alcohol found evident in the work place.

Causes for reasonable suspicion include but are not limited to:

- Observed or reported distribution, possession, or use of prohibited substance, including alcohol;

- Apparent drug or alcohol intoxication;

- Observed abnormal or erratic behavior;

- Incident such as flagrant violation of safety regulations, serious misconduct, fighting or argumentative/abusive language, refusal of supervisory instruction, or unauthorized absence on the job.

The steps a Department Head or Supervisor must take to conduct a reasonable suspicion investigation are:

- Carefully observe the behavior;

- Confirm the behavior whenever possible (arrange a second person, preferably a Supervisor to observe behavior).

- Promptly document the behavior (complete the reasonable suspicion observation form attached).

Make arrangements to confront the employee (allowing for union representation, if practicable).

Make necessary arrangements to test the employee for drugs and alcohol.

The reasonable suspicion observation form attached to this policy must be fully completed whenever an incident occurs which prompts reasonable suspicion that an employee is under the influence of a prohibited drug substance or alcohol. The summary section of the form must indicate facts and circumstances of the incident, the employee's response, supervisor actions and any other pertinent information, as well as the date, times and location of the reasonable suspicion testing. The form must be signed and dated, including the time.

All employees subject to reasonable suspicion testing must be transported by County personnel to Cobleskill Regional Hospital or Mary Imogene Bassett Hospital for such testing. The employee to be tested will need to furnish photo ID to the Cobleskill Regional Hospital or Mary Imogene Bassett Hospital staff.

In the event that an employee refuses to be transported to a testing facility or to submit to a test, the Department Head or Supervisor must inform the employee that the refusal is considered a positive result in disciplinary action. In such instances of refusal, the employee must be immediately transported home with instructions not to report back to work until further notice.

Union representation will be allowed if a representative can be made available within a reasonable amount of time under the circumstances.

SCHOHARIE COUNTY

Reasonable Suspicion Evaluation and Checklist

This form is required to be completed by the supervisor of an employee as a guideline for the determination to order a drug and/or alcohol test screen for the employee when reasonable suspicion exists that an employee is under the influence of alcohol or a prohibited drug substance.. The supervisor or a responsible company official shall independently complete this form in its entirety. The supervisor should note all pertinent behavior and physical signs or symptoms, which lead him/her to reasonably believe that the employee has recently used or is under the influence of a prohibited substance. Mark each applicable item on the form and any additional facts or circumstances that have been noted.

Name of employee: _____

Position held by employee: _____

Date and time of evaluation: _____

Location of employee when reasonable suspicion evaluation was made: _____

(be specific)

Evaluating supervisor: _____

Other supervisors at the location: _____

I. CIRCUMSTANCES OCCURRING AT THE TIME OF THE EVALUATION

- ☐ Employee is reporting for duty: Yes No (circle one)
- ☐ Employee is already on duty: Yes No (circle one)

II. NATURE OF INCIDENT/CAUSE FOR SUSPICION

- ☐ Observed/reported possession, dispensing, or using prohibited substances (including passenger complaint)
- ☐ Apparent drug or alcohol intoxication (physical or behavioral cues outlined in document)
- ☐ Observed abnormal or erratic behavior (physical or behavioral cues outlined in document)
- ☐ Arrest or conviction for drug-related offense
- ☐ Other (i.e., flagrant violation of safety or serious misconduct, accident, or near miss, fighting or argumentative/abusive language, refusal of supervisor instruction, unauthorized absence on the job). Please specify and outline particular physical or behavioral cues in document.

III. OBSERVATIONS OF EMPLOYEE'S PHYSICAL CONDITION

Check below any/all applicable behaviors and describe:

___ Possession, dispensing or using prohibited substance _____

___ Puncture marks or "tracks" _____

___ Odor of alcohol/marijuana on breath or person _____

___ Slurred, slowed, incoherent or confused speech _____

- ___ Extreme aggression/aggravation, nervous/agitated _____
- ___ Dizziness, fainting, swaying, falling, staggering _____
- ___ Apparent intoxicated behavior
(without the odor of alcohol or marijuana) _____
- ___ Unsteady gait or lack of balance _____
- ___ Drowsiness/Inattentive/Confused/Disoriented/
Slow or inappropriate reactions _____
- ___ Nausea or vomiting _____
- ___ Tremors or hand or bodily shaking _____
- ___ Disheveled appearance or out of uniform _____
- ___ Excessive sweating/clamminess of skin _____
- ___ Flushed or very pale skin _____
- ___ Breathing Irregularity or difficulty breathing _____
- ___ Runny nose or sores around nostrils _____
- ___ Dry mouth(frequent swallowing/lip wetting) _____
- ___ Rapid or continuous eye movement or
inability to focus _____
- ___ Glassy/bloodshot or watery eyes _____
- ___ Very large or very small eye pupils _____
- ___ Inappropriate wearing of sunglasses _____
- ___ Other, be specific _____

III. OBSERVATIONS OF EMPLOYEE'S BEHAVIOR

Check below any/all applicable behaviors and describe:

- ___ Inability to respond to questions or
to respond correctly _____
- ___ Complaints of racing or irregular heart beating _____
- ___ Marked irritability/agitation _____
- ___ Aggressiveness (attempts at physical contact) _____

□ *Journal of Management Studies* 40(1): 115–130

VI. DETERMINATION OF REASONABLE SUSPICION

Based on the above documented information, I have determined that there

☐ is ☐ is not (supervisor check only one) reasonable suspicion for sending

_____ for a drug and/or alcohol screening test. (circle one or both)

The drug and/or alcohol screening tests have been ordered by: _____

Will be transported to: _____

Signature of supervisor/official conducting the evaluation: _____

Printed name of the supervisor conducting the evaluation:

Printed Name

Date: (month, day, year)

Note: When at all possible, prior to sending an employee for reasonable suspicion training, the supervisor making the determination should consult with a senior supervisor/department head or another trained supervisor for confirmation of observable, documented behaviors and/or physical signs of possible alcohol and/or prohibited substance use.

I, _____, have reviewed the data above and met with the employee
(printed name)
in question. I concur that there are sufficient reasonable, observable signs and symptoms to test the employee.

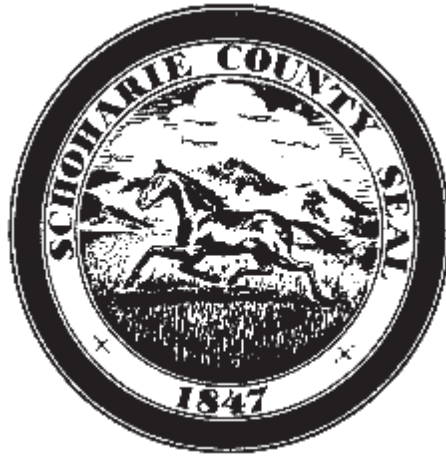
Document inability to confirm observations with another trained supervisor:

Signature

Date

Process/documents to initiate testing;

1. Completion of Reasonable Suspicion Evaluation and Checklist (this form)
2. Completion of Order for Testing
3. Transport employee to test site
4. Make sure employee arranges for transportation home Department Head or Supervisor may arrange this if employee cannot.



Appendix I

CDL Drug and Alcohol Testing

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COMMERCIAL DRIVER'S LICENSE

(CDL)

DRUG AND ALCOHOL TESTING PLAN

This Drug and Alcohol Testing Plan is issued pursuant to the Omnibus Transportation Employee Testing Act of 1991 and the regulations issued there under, including but not limited to 49 CFR Part 382, 49 CFR Part 40 and 49 CFR Part 655.

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INTRODUCTION

The Omnibus Transportation Employee Testing Act of 1991 (the Act) was signed into law in October 1991. The Act required the Federal Department of Transportation to develop regulations to implement drug and alcohol testing of employees performing safety-sensitive functions in the aviation, highway, rail and transit industries. The pertinent regulations are:

- Title 49 Code of Federal Regulations part 40 - Procedures for Transportation Workplace Drug and Alcohol Testing Programs.
- Title 49 Code of Federal Regulations Part 382 - Controlled Substances and Alcohol Use and Testing.
- Title 49 Code of Feral Regulations Part 655 – Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations.

The purpose of the Act and the regulations implementing the Act are to establish programs designed to help prevent accidents and injuries resulting from the misuse of alcohol or use of controlled substances by drivers of commercial motor vehicles. The regulations require drug and alcohol testing of employees who maintain a commercial driver's license (CDL) and operate what are defined as commercial motor vehicles and others, such as mechanics, who hold safety-sensitive positions.

Testing will be required under the following work related conditions: (1) pre-employment, (2) on a random basis, (3) upon reasonable suspicion, (4) in post-accident situations, (5) upon a return to duty after having tested positive, and (6) on a follow-up basis. The regulations require testing for alcohol using an evidential breath testing device and urine testing for five illegal substances, which include marijuana, cocaine, amphetamines, opiates, and phencyclidine (PCP).

Any provisions set for the in this policy that are included under the sole authority of Schoharie County Public Transportation and are not provided under the authority of the above named Federal regulations are underlined. Tests conducted under the sole authority of Schoharie County Public Transportation will be performed on non-USDOT forms and will be separate from USDOT testing in all respects.

The procedures outlined in this manual will become effective August 20, 2015.

THE PURPOSE OF THIS PLAN

The purpose of the Drug and Alcohol Testing Plan (this Plan) is to explain and educate the workforce with regard to the requirements of the law and the procedures necessary to meet these requirements. This Plan is prepared in compliance with and based upon the mandatory requirements of the Act and regulations promulgated there under. The regulations discussed above contain a more detailed explanation of the law's requirements and will be the governing instrument under which this Plan is administered.

Failure to comply with the Act, the regulations, or this Plan may result in disciplinary action up to and including discharge.

DEFINITIONS

Appendix A contains a list of selected definitions taken from the regulations, which apply to the administration of this Plan.

PROHIBITED DRUG AND ALCOHOL RELATED CONDUCT

No employee shall use, sell, possess, distribute, manufacture, or be under the influence of any alcoholic beverage or illegal drug or any other intoxicating substance at any time on a job site or on employer property; or while in an employer vehicle, a vehicle leased for employer business, or a privately owned vehicle being used for employer business during the employee's work hours.

No employee shall use illegal drugs or report to work at the beginning of a shift or upon returning from any break, lunch or rest period under the influence of alcohol, illegal drugs or other intoxicating substance.

No employee shall possess alcohol during working hours unless the alcohol is manifested and transported as part of a shipment, perform safety-sensitive functions within four (4) hours after using alcohol, or use alcohol for eight (8) hours following an accident or until he/she undergoes a post-accident alcohol test, whichever occurs first.

See further discussion at "Prohibited Conduct", p.3.

THE PERSONNEL DESIGNATED TO ANSWER QUESTIONS ABOUT DRUG AND ALCOHOL TESTING

Each covered employee will receive a copy of this Plan prior to the start of alcohol and controlled substance testing. Representatives of the employee organization representing the employees will also receive copies of this Plan. Additionally, any employee performing a safety-sensitive function, as defined in the relevant regulations is subject to testing under this Plan.

Appendix B specifies the names, addresses and phone numbers of the individuals designated to answer any questions an employee may have regarding this Plan and the individuals or organizations charged with administering the Plan. Employees can also obtain information on the Plan from supervisors and other employer representatives or from the employee's union.

EMPLOYEES SUBJECT TO DRUG AND ALCOHOL TESTING REQUIREMENTS

Any employee who has a CDL for the performance of their duties is subject to testing under this Plan.

The testing requirements apply whenever an employee is actually performing, ready to perform, or immediately available to perform any safety-sensitive functions as defined by the regulations (see Appendix A).

PROHIBITED CONDUCT

Alcohol Possession. No employee shall be on duty or operate a commercial motor vehicle while the employee possesses alcohol, unless the alcohol is manifested and transported as part of a shipment.

On-Duty Use. No employee shall use alcohol while performing safety-sensitive functions.

Pre-Duty Use. No employee shall perform safety-sensitive functions within four hours after using alcohol.

Use Following an Accident. No employee involved in an accident shall use alcohol for eight hours following the accident, or until the employee undergoes a post-accident alcohol test, whichever occurs first.

Controlled Substances. No employee shall report for duty or remain on duty requiring the performance of safety-sensitive functions when the employee uses any controlled substance, except when the use is pursuant to the instructions of a physician who has advised the employee that the substance does not adversely affect the employee's ability to safely operate a commercial motor vehicle.

Controlled Substance Testing. No employee shall report for duty, remain on duty or perform a safety-sensitive function, if the employee tests positive for controlled substances.

Employer's Duty. If the employer suspects or has actual knowledge that an employee is not in compliance with one of the prohibitions listed above, the employer is required to remove the employee from the performance of safety-sensitive functions.

THE CIRCUMSTANCES UNDER WHICH AN EMPLOYEE WILL BE TESTED

Pre-Employment Testing.

- 1) All applicants for covered transit positions shall undergo urine drug testing prior to performance of safety-sensitive function.
- b) All offers of employment for covered positions shall be extended conditional upon the applicant passing a drug test. An applicant will not be allowed to perform safety-sensitive functions unless the applicant takes a drug test with verified negative results.
- c) An employee shall not be placed, transferred or promoted into a position covered under FTA authority or company authority until the employee take a drug test with verified negative results.
- d) If an applicant fails a pre employment drug test, the conditional offer of employment shall be rescinded and the applicant will be referred to a Substance Abuse Professional. Failure of a pre-employment drug test will disqualify an applicant for employment for a period of at least one year. Before being considered for future employment the applicant must provide the employer proof of having successfully completed a referral, evaluation and treatment plan as described in section 655.62 of subpart G. The cost for the assessment and any subsequent treatment will be the sole responsibility of the applicant.
- e) When an employee being placed, transferred, or promoted from a non-covered position to a position covered under FTA authority or company authority submits a drug test with a verified positive result, the employee shall be subject to disciplinary action in accordance with Section Q herein.
- f) If a pre-employment test is canceled, [GRANTEE/TRANSIT SYSTEM NAME] will require the applicant to take and pass another pre-employment drug test.
- g) In instances where a FTA covered employee is on extended leave for a period of 90 consecutive days more regardless of reason, and is not in the random testing pool the employee will be required to take a pre-employment drug test under 49 CFR Part 655 and have negative test results prior to the conduct of safety-sensitive job functions.
- h) Following a negative dilute the employee will be required to undergo another test. Should this second test result in a negative dilute result, the test will be considered a negative and no additional testing will be required unless directed to do so by the MRO.

Post-Accident Testing.

- 1) All covered employees will be required to undergo urine and breath testing if they are involved in an accident with a transit revenue service vehicle regardless of whether or not the vehicle is in revenue services that results in a fatality. This includes all surviving covered employees that are operating the vehicle at the time of the accident and any other whose performance cannot be completely discounted as a contributing factor to the accident.

- 2) In addition, a post-accident test will be conducted if an accident results in injuries requiring immediate transportation to a medical treatment facility; or one or more vehicles incurs disabling damage, unless the operator's performance can be completely discounted as a contributing factor to the accident.
 - a. As soon as practicable, following an accident, as defined in this policy, the transit supervisor investigating the accident will notify the transit employee operating the transit vehicle and all other covered employees whose performance could have contributed to the accident of the need for the test. The supervisor will make the determination using the best information available at the time of the decision.
 - b. The appropriate transit supervisor shall ensure that an employee, required to be tested under this section, is tested as soon as practicable, but no longer than eight (8) hours of the accident for alcohol, and no longer than 32 hours for drugs. If an alcohol test is not performed within two hours of the accident, the Supervisor will document the reason(s) for the delay. If the alcohol test is not conducted within (8) hours, or the drug test within 32 hours, attempts to conduct the test must cease, and the reasons for the failure to test documented.
 - c. Any covered employee involved in an accident must refrain from alcohol use for eight (8) hours following the accident, or until he/she undergoes a post-accident alcohol test.
 - d. An employee who is subject to post-accident testing who fails to remain readily available for such testing, including notifying a supervisor of his or her location if he or she leaves the scene of the accident prior to submission to such test, may be deemed to have refused to submit to testing.
 - e. Nothing in this section shall be construed to require the delay of necessary medical attention for the injured following an accident, or to prohibit an employee from leaving the scene of an accident for the period necessary to obtain assistance in responding to the accident, or to obtain necessary emergency medical care.
 - f. In the rare event that Schoharie County Public Transportation is unable to perform an FTA drug and alcohol test (i.e., employee is unconscious, employee is detained by law enforcement agency), Schoharie County Public Transportation may use drug and alcohol post-accident test results administered by local law enforcement officials in lieu of the FTA test. The local law enforcement officials must have independent authority for the test and the employer must obtain the results in conformance with local law.

Random Testing.

- 1) All covered employees will be subjected to random, unannounced testing. The selection of employees shall be made by a scientifically valid method of randomly generating an employee identifier from the appropriate pool of safety-sensitive employees. Employees covered under company authority will be selected from a pool of non-DOT covered employees.
- 2) The dates for administering unannounced testing of randomly selected employees shall be spread reasonably throughout the calendar year, day of the week and hours of the day.
- 3) The number of employees randomly selected for drug/alcohol testing during the calendar year shall be not less than the percentage rates established by Federal regulations for those safety-sensitive employees subject to random testing by Federal regulations. The current random testing rate for drugs established by FTA equals twenty-five percent of the number of covered employees in the pool and the random testing rate for alcohol established by FTA equals ten percent of the number of covered employees in the pool.

- 4) Each covered employee shall be in a pool from which the random selection is made. Each covered employee in the pool shall have an equal chance of selection each time the selections are made. Employees will remain in the pool and subject to selection, whether or not the employee has been previously tested. There is no discretion on the part of management in the selection.
- 5) Covered transit employees that fall under the Federal Transit Administration regulations will be included in one random pool maintained separately from the testing pool of employees that are included solely under the company's authority.
- 6) Random tests can be conducted at any time during an employee's shift for drug testing. Alcohol random tests can be performed just before, during, or just after the performance of a safety-sensitive duty. However, under Schoharie County Public Transportation's authority, a non-DOT random alcohol test may be performed any time the covered employee is on duty. Testing can occur during the beginning, middle, or end of an employee's shift.
- 7) Employees are required to proceed immediately to the collection site upon notification of their random selection.

The following is an outline of the key aspects of the random testing selection process:

- (1) Employees remain in the random selection pool at all times, regardless of whether or not they have been previously selected for testing.
- (2) Employees shall be selected for testing by using a computer-based random number generator or equivalent random selection method that is matched with an employee's social security number.
- (3) The process will be unannounced, as well as random. Employees will be notified that they have been selected for testing after they have reported for duty on the day of collection.
- (4) Employees will be selected for random testing based on the number of covered employees at the time and the necessary testing rate.
- (5) Specimen collection will be conducted on different days of the week throughout the annual cycle.

Steps for random testing:

- (1) The employer, on a pre-determined date, shall use the random selection procedures to compile a list of covered employees selected for random testing during that testing cycle.
- (2) The employer will notify employees of their selection for random testing after they have reported for duty.
- (3) The names of the employees to be tested will be provided to the appropriate division manager, department head or supervisor.
- (4) The list of employees selected will be retained by the employer in a secure location.

- (5) Employees shall report immediately to the collection site, once notified by the appropriate employer representative.
- (6) Upon arriving at the designated collection site, the employee will be required to identify himself/herself to the site personnel by presenting picture identification (i.e., employer photo identification card or driver's license).
- (7) The employee will provide his/her urine specimen or breath sample, in accordance with the procedures of the collection site.

Reasonable Suspicion Testing. All Schoharie County Public Transportation FTA covered employees will be subject to a reasonable suspicion drug and/or alcohol test when the employer has reasonable suspicion to believe that the covered employee has used a prohibited drug and/or engaged in alcohol misuse. Reasonable suspicion shall mean that there is objective evidence, based upon scientific, contemporaneous, articulable observations of the employee's appearance, behavior, speech or body odor that are consistent with possible drug use and/or alcohol misuse. A reasonable suspicion alcohol test can only be conducted just before, during, or just after the performance of a safety-sensitive job function. However, under the Company's authority, a reasonable suspicion alcohol test may be performed any time the covered employee is on duty. A reasonable suspicion drug test can be performed any time the covered employee is on duty.

A written record of the observations which led to a drug/alcohol test based on reasonable suspicion shall be prepared and signed by the supervisor making the observation.

Returned-To-Duty Testing. All covered employees who previously tested positive on a drug or alcohol test or refused a test, must test negative for drugs, alcohol (below 0.02 for alcohol), or both and be evaluated and released by the Substance Abuse Professional before returning to work. For an initial positive drug test a Return-to-Duty drug test is required and an alcohol test is allowed. For an initial positive alcohol test a Return-to-Duty alcohol test is required and a drug test is allowed. Following the initial assessment, the SAP will recommend a course of rehabilitation unique to the individual. The SAP will recommend the return-to-duty test only when the employee has successfully completed the treatment requirement and is known to be drug and alcohol-free and there are no undo concerns for public safety.

Follow-Up Testing. Covered employees that have returned to duty following a positive or refused a test will be required to undergo frequent, unannounced drugs and/or alcohol testing following their return-to-duty test. The follow-up testing will be performed for a period of one to five years within a minimum of six tests to be performed the first year. The frequency and duration of the follow-up tests (beyond the minimums) will be determined by the SAP reflecting the SAP's assessment of the employee's unique situation and recovery progress. Follow-up testing should be frequent enough to deter and/or detect a relapse. Follow-up testing is separate and in addition to the random, post-accident, reasonable suspicion and return-to-duty testing.

General Safety Considerations.

Any time an employee tests positive for alcohol, the employer will arrange to transport the employee from the collection site to the employee's home.

Any time an employee is drug tested under the reasonable suspicion or post-accident section of this Plan, the employee shall not perform any safety-sensitive duties pending the receipt of the drug test results.

**THE PROCEDURES THAT WILL BE USED TO TEST FOR THE PRESENCE OF
ALCOHOL AND CONTROLLED SUBSTANCES**

1. **Drug Testing.**

Preparation for Testing. The employer and a certified laboratory will maintain a clear and well-documented procedure for the collection, shipment, and accessing of urine specimens as detailed and required by the regulations. When an employee enters the testing location, the testing procedures will be fully explained to the employee. The procedures include the following:

- (a) the use of a drug testing custody and control form;
- (b) the use of clean, single-use specimen bottles that are securely wrapped until filled with the specimen and the use of a procedure in which the urine specimen is split and poured into two specimen bottles to provide the employee with the option of retesting the split sample;
- (c) the use of a tamper proof sealing system, designed in a manner to ensure against undetected opening;
- (d) the use of a shipping container in which the specimen and associated paperwork may be transferred and which can be sealed and initialed to prevent undetected tampering;
- (e) the use of written procedures, instructions, and training that will ensure that collection site personnel have the ability to administer the collection procedures in accordance with the requirements of the regulations.

Designation of Collection Site. The employer will identify a designated collection site which has all necessary personnel, materials, equipment, facilities and supervision to provide for the collection, security, temporary storage, and shipping or transportation of urine specimens to a certified drug testing laboratory.

Security. The designated collection site will be secured to ensure that other persons are not present during the collection process. The specimen shall remain under the direct control of collection site personnel from delivery to its being sealed in the mailer. The mailer shall be immediately mailed, maintained in secure storage, or remain until mailed under the control of collection site personnel.

Chain of Custody. A chain of custody and control form shall be properly executed by authorized collection site personnel upon receipt of specimens. Handling or transportation of urine specimens from one authorized individual or place to another shall always be accomplished through chain of custody procedures. Since specimens and documentation are sealed in shipping container that would indicate any tampering during transit to the laboratory, and couriers, express carriers and postal service personnel do not have access to the chain of custody forms, there is no requirement that such personnel document chain of custody for the shipping container during transit.

Access to Authorized Personnel Only. No unauthorized personnel shall be permitted in any part of the designated collection site where urine specimens are collected or stored. Only collection site personnel may handle specimens prior to their securement in the mailing container or monitor or observe specimen collection.

Privacy. Procedures for collecting urine specimens shall allow individual privacy unless there is a reason to believe that a particular individual may alter or substitute the specimen to be provided.

Integrity and Identity of Specimen. The employer shall take precautions to ensure that a urine specimen is not adulterated or diluted during the collection procedure and that information on the urine bottle and on the urine custody and control form can identify the individual from whom the specimen was collected.

Failure to Cooperate. If the employee refuses to cooperate with the collection process, collection site personnel shall inform the employer and shall document the non-cooperation on the drug testing custody and control form. Any failure to cooperate may subject the employee to disciplinary action up to and including termination.

Employee Requiring Medical Attention. If the sample being collected is from an employee in need of medical attention (e.g., as part of a post-accident test given in an emergency medical facility), necessary medical attention shall not be delayed in order to collect the specimen.

Laboratory Personnel and Analysis Procedures. The laboratory used to analyze specimens shall meet the requirements of the regulations and utilize procedures that conform with the regulations.

Quality Assurance and Quality Control. Drug testing laboratories shall have a quality assurance program which encompasses all aspects of the testing process including but not limited to specimen acquisition, chain of custody security and reporting of results, initial and confirmatory testing and validation of analytical procedures. Quality assurance procedures shall be designated, implemented and reviewed to monitor the conduct of each step of the process of testing. All specimens identified as positive on the initial test shall be confirmed using an additional testing procedure.

Reporting and Review of Results by MRO. Positive test results will be reported directly to a designated Medical Review Officer (MRO) prior to the transmission of the results to the employer's administrative officials. The MRO shall review the integrity of test results and contact the individual directly, on a confidential basis, to determine whether the employee wishes to discuss the test results. If no legitimate explanation for the positive test is found, the MRO will report the positive test result to the employer.

Retesting of Samples. An employee or applicant for employment may request in writing to the MRO a retest of the sample, provided such request is made within 72 hours of the individual having been informed of a verified positive test from the MRO. Schoharie County Public Transportation will ensure the cost for the split specimen are covered in order for a timely analysis of the sample, however, Schoharie County Public Transportation will seek reimbursement for the split sample test from the employee.

Protection of Employee Records. The employer's contract with the laboratories conducting the drug tests requires that the laboratory maintain employee test records in confidence, as provided in the regulations.

II. Alcohol Testing.

The Breath Alcohol Technician. The breath alcohol technician (BAT) that conducts alcohol testing shall be trained to proficiency in the operation of the evidential breath testing (EBT) device. The EBTs shall conform with the requirements of the regulations.

Locations for Breath Alcohol Testing. The employer shall conduct alcohol testing in the location that affords visual and aural privacy to the individual being tested, sufficient to prevent unauthorized persons from seeing or hearing test results. All necessary equipment, personnel, and materials for breath testing will be provided at the location where testing is conducted.

Preparation for Breath Alcohol Testing. When an employee enters the alcohol testing location, the BAT will require him or her to provide positive identification. The testing procedures will be fully explained to the employee. If the results of the screening test indicate an alcohol concentration of 0.02 or greater, a confirmation test will be performed.

Refusal to Test and Uncompleted Tests. Refusal by an employee to complete and sign the breath alcohol testing form, to provide breath, to provide an adequate amount of breath, or otherwise to cooperate with the testing process in a way that prevents the completion of the test shall be reported immediately to the employer.

Protection of Employee Records. The employer will maintain records in a secure manner in accordance with the regulations.

THE CONSEQUENCES OF FAILING OR REFUSING TO TAKE A DRUG OR ALCOHOL TEST

Policy. Compliance with the regulations and this Plan is a condition of employment. Refusal to take a required test or failure of a drug or alcohol test shall result in suspension from duty. Additional disciplinary action up to and including termination may result. Any disciplinary action taken shall be in compliance with the Collective Bargaining Agreement (if any), Section 75 of the New York State Civil Service Law or any other applicable statutory due process requirements.

Policy on Discipline for Positive Test Result(s). Any CDL driver or any other employee performing a safety-sensitive function, who tests positive under the Act will be subject to the following penalties:

- A. For the first violation, a ten (10) working day suspension and no accrued leave time may be used.
- B. For a second violation within a rolling ten (10) year period, automatic termination.
- C. Refusal or failure to submit to a required alcohol or drug test constitutes a failed test resulting in immediate removal from safety-sensitive duty and disciplinary action as described above.

In addition to the above penalties, an employee will be required to stay off the job without pay for as long as the MRO states it is necessary. However, the employee may use any accrued leave time for any additional suspension time required by the MRO.

- D. If employee's test result is positive for alcohol between .02-.039, a suspension of one (1) working day without pay, and no accrued leave time may be used and the employee must be taken home and will not be allowed to drive himself and said result will not count as a violation towards the termination hereinbefore referenced.

Removal From Safety-Sensitive Functions. No driver or other employee performing a safety-sensitive function shall perform safety-sensitive functions if the driver has engaged in conduct prohibited by the regulations or this Plan. An employee who is found to have an alcohol concentration of 0.02 but less than 0.04 shall not be allowed to perform safety-sensitive functions until at least 24 hours from the test and may be subject to disciplinary action up to and including termination.

CONDITIONS OF RETURN TO DUTY

All covered employees who previously tested positive on a drug or alcohol test or refused a test, must test negative for drugs, alcohol (below 0.02 for alcohol), or both and be evaluated and released by the Substance Abuse Professional before returning to work. For an initial positive drug test a Return-to-Duty drug test is required and a drug test is allowed. Following the initial assessment, the SAP will recommend a course of rehabilitation unique to the individual. The SAP will recommend the return-to-duty test only when the employee has successfully completed the treatment requirement and is known to be drug and alcohol-free and there are no undo concerns for public safety.

Covered employees that have returned to duty following a positive or refused a test will be required to undergo frequent, unannounced drug and/or alcohol testing following their return-to-duty test. The follow-up testing will be performed for a period of one to five years with a minimum of six tests to be performed the first year. The frequency and duration of the follow-up tests (beyond the minimums) will be determined by the SAP reflecting the SAP's assessment of the employee's unique situation and recovery progress. Follow-up testing should be frequent enough to deter and/or detect a relapse. Follow-up testing is separate and in addition to the random, post-accident, reasonable suspicion and return-to-duty testing.

The cost of evaluation, rehabilitation, and return-to-duty and follow-up tests are the responsibility of the employee.

EMPLOYEE ASSISTANCE PROGRAM

The employer provides an employee assistance program (EAP) for its employees. The EAP provides confidential counseling for many different areas of concern to employees including drug and alcohol problems. The name and number of the EAP representative is listed in Appendix B.

SUPERVISOR TRAINING

All supervisory personnel or company officials who are in a position to determine employee fitness for duty will receive 60 minutes of reasonable suspicion training on the physical, behavioral, and performance indicators of probable drug use and 60 minutes of additional reasonable suspicion training on the physical, behavioral, speech, and performance indicators of probable alcohol and misuse.

ADDITIONAL INFORMATION ON THE EFFECTS OF DRUGS AND ALCOHOL

Every covered employee will receive a copy of this policy and will have ready access to the corresponding federal regulations including 49 CFR Parts 655 and 40, as amended. In addition, all covered employees will undergo a minimum of 60 minutes of training on the signs and symptoms of drug use including the effects and consequences of drug use on personal health, safety, and the work environment. The training also includes manifestations and behavioral cues that may indicate prohibited use. Additional information is available through the employer representative's designated in Appendix B and through union representatives.

CERTIFICATE OF RECEIPT

Certificate of Receipt. Each employee is required to sign a statement certifying that he or she has received a copy of this plan. A Certificate of Receipt is attached as Appendix C.

APPENDIX A

DEFINITIONS

For purposes of this Plan, the following definitions apply:

1. FTA Accident: An occurrence associate with the operation of a revenue service vehicle, even not in revenue service, which results in:
 - a. a fatality;
 - b. bodily injury to a person who, as a result of the injury, immediately receives medical treatment away from the scene of the accident; or
 - C. one or more motor vehicles incurring disabling damage as a result of the accident, requiring the vehicle to be transported away from the scene by a tow truck or other vehicle.

If an employee is ticketed for a moving traffic violation as a result of an accident while driving a Commercial Motor Vehicle, the employee is subject to a Drug and Alcohol test under the Plan.

2. Alcohol use: means the consumption of any beverage, mixture, or preparation, including any medication containing alcohol.
3. Breath Alcohol Technician (BAT): an individual who instructs and assist individuals in the alcohol testing process and operates an EBT.
4. Chain of Custody: procedures to account for the integrity of each urine specimen by tracking its handling and storage from point of specimen collection to final disposition of the specimen.
5. Collection Site: a designated location where applicants or employees may present themselves for providing a specimen of their urine to be analyzed for the presence of drugs or providing a sample of their breath to be analyzed for the presence of alcohol.
6. Collection Site Person: a person who instructs and assists applicants and employees through the specimen collection process.
7. Commercial Motor Vehicle: means a motor vehicle or combination of motor vehicles used in commerce to transport passengers or property if the motor vehicle:
 - a. Has a gross combination weight rating of 26,001 or more pounds inclusive of a towed unit with a gross vehicle weight rating of more than 10,000 pounds; or
 - b. Has a gross vehicle weight rating of 26,001 or more pounds; or
 - c. Is designed to transport 16 or more passengers, including the driver; or
 - d. Is of any size and is used in the transportation of materials found to be hazardous for the purposes of the Hazardous Materials Transportation Act and which require the motor vehicle to be placarded under the Hazardous Materials Regulations (49 CFR part 172, subpart F).
8. Confirmation Test: For alcohol, testing means a second test, following a screening test with a result of 0.02 or greater, which provides quantitative data of alcohol concentration. For controlled substances, confirmation testing means a second analytical procedure to identify the presence of a specific drug or metabolite, which is

independent of the screen test and which uses a different technique and chemical principal from that of the screen test in order to ensure reliability and accuracy. (Gas chromatography/mass, spectrometry (GC/MS) is the only authorized confirmation method for cocaine, marijuana, opiates, amphetamines, and phencyclidine.)

9. Covered Employee (Employee): An employee who performs a safety-sensitive function including an applicant or transferee who is being considered for hire into a safety-sensitive function. Every employee who operates a commercial motor vehicle in interstate or intrastate commerce and is subject to having a CDL.
10. Cut-Off Levels: the minimum value established for designating a test result as positive.
11. Driver: means any person who operates a commercial motor vehicle. This includes, but is not limited to: full time, regularly employed drivers; casual, intermittent or occasional drivers; leased drivers and independent, owner-operator contractors who are either directly employed by or under lease to an employer or who operate a commercial motor vehicle at the direction of or with the consent of an employer. For the purposes of pre-employment/pre-duty testing only, the term "driver" includes a person applying to an employer to drive a commercial motor vehicle,
12. Drugs (Prohibited): marijuana, cocaine, amphetamines, phencyclidine and/or opiates.
13. EAP: Employee Assistance Program which provides all employees with a means of obtaining confidential professional assistance in handling personal problems which may adversely affect job performance. The EAP may also function as the SAP for the purpose of this regulation.
14. Evidential Breath Testing Device (EBT): an EBT approved by the National Highway Traffic Safety Administration (NHTA) for the evidential testing of breath and placed on NHTA's "Conforming Products List of Evidential Breath Measurement Devices" (CPL).
15. Fail a Drug Test or Test Positive: the confirmation test result shows positive evidence of the presence under DOT procedures of a prohibited drug in the employee or applicant's system.
16. Medical Review Officer (MRO): a licensed physician (medical doctor or doctor of osteopathy) responsible for receiving laboratory results generated by an employer's drug testing program who has knowledge of the substance abuse disorders and has appropriate medical training to interpret and evaluate an individual's confirmed positive test result together with his/her medical history and any other biomedical information.
17. Pass a Drug Test or Test Negative: that initial testing or confirmation testing under DOT procedures does not show evidence of the presence of prohibited drug in the employee or applicant's system.
18. Performing (a safety-sensitive function): means a driver is considered to be performing a safety-sensitive function during any period in which he or she is actually performing, ready to perform, or immediately available to perform any safety-sensitive functions.
19. Refuse to submit (to an alcohol or controlled substances test): means that the employee:
 - (1) Fails to appear for any test (excluding pre-employment) within reasonable time, as determined by the employer, after being directed to do so by the employer
 - (2) Fails to remain at the testing site until the testing process is complete

- (3) Fails to attempt to provide a urine or breath specimen for any drug or alcohol test required by Part 40 of DOT agency regulations
- (4) In the case of a directly observed or monitored collection in a drug test, fails to permit the observation or monitoring of your provision of a specimen
- (5) Fails to provide a sufficient amount of urine or breath when directed, and it has been determined, through a required medical evaluation, that there was no adequate medical explanation for the failure
- (6) Fails or declines to take a second test the employer or collector has directed you to take
- (7) Fails to undergo a medical examination or evaluation, as directed by the MRO as part of the verification process, or as directed by the DER as part of the “shy bladder” or “shy lung” procedures
- (8) Fails to cooperate with any part of the testing process (e.g., refuse to empty pockets when so directed by the collector, behave in a confrontational way that disrupts the collection process)
- (9) If the MRO reports that there is a verified adulterated or substituted test result
- (10) Failure or refusal to sign Step 2 of the alcohol testing form
- (11) Failure to follow the observer’s instructions during an observed collection including instructions to raise your clothing above the waist, lower clothing and underpants, and to turn around to permit the observer to determine if you have any type of prosthetic or other device that could be used to interfere with the collection process
- (12) Possess or wear a prosthetic or other device that could be used to interfere with the collection process
- (13) Admit to the collector or MRO that you adulterated or substituted the specimen

20. FMCSA Safety-sensitive function means all time from the time a covered employee begins to work or is required to be in readiness to work until the time he/she is relieved from work and all responsibility for performing work. Safety-sensitive functions shall include all functions as defined in to relevant regulations, including but not limited to:

- (1) All time at an employer or shipper plant, terminal, facility, or other property, waiting to be dispatched, unless the driver has been relieved from duty by the employer.
- (2) All time inspecting equipment as required by the Federal Motor Carrier Safety Regulations (FMCSR's), or otherwise inspecting, servicing, or conditioning any commercial motor vehicle at any time.
- (3) All time spent at the driving controls of a commercial motor vehicle.
- (4) All time, other than driving time, spent on or in a commercial motor vehicle (except for time spent resting in the sleeper berth).
- (5) All time loading or unloading a commercial motor vehicle, supervising, or assisting in the loading or unloading, attending a vehicle being loaded or unloaded, remaining in readiness to operate the vehicle, or in giving or receiving receipts for shipments loaded or unloaded.
- (6) All time spent performing the driver requirements associated with an accident.

- (7) All time repairing, obtaining assistance, or remaining in attendance upon a disabled vehicle.

FTA Safety-sensitive function: Employee duties identified as:

The operation of a transit revenue service vehicle even when the vehicle is not in revenue service.

The operation of a non-revenue service vehicle by an employee when the operation of such a vehicle requires the driver to hold a Commercial Drivers License (CDL).

21. Screening test (also known as initial test): In alcohol testing, it means an analytical procedure to determine whether a driver may have a prohibited concentration of alcohol in his or her system. In controlled substance testing, it means an immunoassay screen to eliminate "negative" urine specimens from further consideration.
22. Substance Abuse Professional: means a licensed physician (Medical Doctor or Doctor of Osteopathy), or a licensed or certified psychologist, social worker, employee assistance professional, or addiction counselor (certified by the National Association of Alcoholism and Drug Abuse Counselors Certification Commission) with knowledge of and clinical experience in the diagnosis and treatment of alcohol and controlled substances-related disorders.

APPENDIX B

PERSONNEL AND ORGANIZATIONS ADMINISTERING THE PLAN

1. Drug/Alcohol Program Manager (DAPM)

Barbara A Schaffer, Deputy Personnel Officer
(518) 295-8374
2. Medical Review Officer (MRO)

Bertine McKenna, Ph D.
Bassett HealthCare/HealthWorks
1 Atwell Rd., Cooperstown, NY 13326
1-800-343-7527
1-607-547-7014
3. Department of Health and Human Services (DHHS)

Primary Laboratory - Quest Diagnostics, Philadelphia, PA
4. Substance Abuse Professional

-Chemical Dependencies Clinic, Schoharie, NY (518) 295-2031
-Council on Alcoholism and Substance Abuse of Schoharie County,
Schoharie, NY (518) 295-2031

APPENDIX C

CERTIFICATE OF RECEIPT

I acknowledge receipt of the **Drug and Alcohol Testing Plan** (dated January 1, 1995).

Employee Name (Print)

Employee Signature (Date)

THIS DOCUMENT SHALL BE RETAINED IN THE EMPLOYEE'S PERSONNEL FILE.

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Appendix J

Blood Borne Pathogens

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SCHOHARIE COUNTY BLOODBORNE PATHOGENS

EXPOSURE CONTROL PLAN

INTRODUCTION

Because a significant number of employees faced health risks from exposure to blood and other infectious materials, the Bloodborne Pathogens Standard (29 CFR 1910.1030) was adopted by the Federal Occupational Safety and Health Administration (OSHA) in December 1991 with full implementation in July 1992. The Bloodborne Pathogens Standard is designed to eliminate or reduce employee exposure to bloodborne pathogens, including the hepatitis B virus (HBV), and the human immunodeficiency virus (HIV) which causes Acquired Immunodeficiency Syndrome (AIDS). Schoharie County Government supports the provisions of the standard and implements this exposure control plan to minimize employee exposure to potential bloodborne infection. The plan is designed to allow each department to structure its own workplace-specific exposure control plan according to the nature of the exposure hazards.

PURPOSE

This plan establishes standard procedures and rules for the protection of Schoharie County employees from potential hazards associated with exposure to human blood and other body fluids. Our major intent is to prevent the transmission of bloodborne diseases to our employees.

SCOPE

The provisions of this bloodborne pathogens exposure control plan apply to all members of Schoharie County Government who can reasonably anticipate exposure to human blood or other potentially infectious materials while conducting their primary or collateral job duties.

DEFINITIONS

Blood - Human blood, human blood components, and products made from human blood. **For purposes of this exposure control plan, the term “blood” shall also include other potentially infectious materials, as defined below.**

Bloodborne pathogens - Disease-producing microorganisms that are present in human blood and can cause disease in humans. These pathogens include, but are not limited to, hepatitis B (HBV) and human immunodeficiency virus (HIV).

Contaminated - Presence or the reasonably anticipated presence of blood or other potentially infectious materials on an item or surface.

Contaminated sharps - Any contaminated object that can penetrate the skin including, but not limited to, needles, scalpels, broken glass, broken capillary tubes, and sharp metal or plastic items.

Decontamination - Use of physical or chemical means to remove, inactivate, or destroy bloodborne pathogens on a surface or item to the point where they are no longer capable of transmitting infectious particles and the surface or item is rendered safe for handling, use, or disposal.

Exposure incident - A specific eye, mouth, other mucous membrane, non-intact skin, or parenteral contact with blood or other potentially infectious materials that results from the performance of an employee's duties.

Impervious - For purposes of this plan, impervious shall mean a material incapable of being penetrated by blood or other potentially infectious materials.

Mucous membrane - A moist layer of tissue that lines the mouth, eyes, nostrils, vagina, anus, and urethra.

Occupational exposure - Reasonably anticipated skin, eye, mucous membrane, or parenteral contact with blood or other potentially infectious materials that may result from the performance of an employee's duties.

Other potentially infectious materials - Means any of the following:

1. The following human body fluids: semen, vaginal secretions, cerebrospinal fluid, synovial (ligaments/joints) fluid, pleural (lung and thoracic cavity membrane) fluid, pericardial (heart membrane), amniotic (embryonic) fluid, saliva in dental procedures, any body fluid that is visibly contaminated with blood, and all body fluids in situations where it is difficult or impossible to differentiate between body fluids;
2. Any unfixed tissue or organ, other than intact skin, from a human (living or dead); and
3. HIV-containing cell or tissue cultures, organ cultures, and HIV- or HBV-containing culture medium or other solutions; and blood, organs, or other tissues from experimental animals infected with HIV or HBV.

Parenteral - Piercing mucous membranes or the skin barrier through such events as needlesticks, human bites, cuts and abrasions.

Regulated waste - Liquid or semi-liquid blood or other potentially infectious materials; contaminated items that would release blood or other potentially infectious materials in a liquid or semi-liquid state if compressed; items that are caked with dried blood or other infectious materials and are capable of releasing these materials during handling; contaminated sharps; and pathological and microbiological wastes containing blood or other potentially infectious materials.

Source individual - Any individual, living or dead, whose blood or other potentially infectious materials may be a source of occupational exposure to the employee.

Universal precautions - An infection control approach where all human blood and other potentially infectious materials are treated as if known to be infectious for HIV, HBV, and other bloodborne pathogens.

GENERAL

In keeping with Schoharie County's commitment to provide our employees with a safe and healthful work environment, universal precautions will be observed to prevent contact with blood and other potentially infectious materials. All blood and other potentially infectious materials (**hereafter inclusive in the term "blood"**) will be considered infectious regardless of the perceived status of the source individual. Under circumstances where differentiation between body fluids is difficult, all body fluids shall be considered infectious. The procedures established in this exposure control plan must be followed by all employees in job classifications where contact with blood can be reasonably anticipated.

RESPONSIBILITIES

Department Heads and Supervisors:

Department heads and supervisors of employees in operations where exposures to blood are likely must maintain and enforce effective exposure control programs according to the provisions of this plan. They should work directly with the Exposure Control Coordinator and their employees to ensure that all job classifications and job tasks falling under the program are identified, and that proper exposure control procedures are understood and followed by all personnel in those jobs. Further, they must regularly evaluate (at least annually) their exposure control plans, engineering controls, and operational practices to ensure that their exposure control programs are effective, and then make improvements as necessary.

County Exposure Control Coordinator:

The Exposure Control Coordinator is responsible for overall management and support of the Schoharie County bloodborne pathogens exposure control plan. The Exposure Control Coordinator for the Schoharie County is the County Safety Officer. Responsibilities and activities for the Exposure Control Coordinator include, but are not limited to the following:

- Implementation and maintenance of the county exposure control plan;
- Working with management, employees, and the appropriate safety committee(s) to continually improve the exposure control plan, engineering controls, and operational procedures to provide better protection of our employees from potential exposures to bloodborne pathogens;
- Advising the department heads or supervisors of the job classifications and tasks which should be included under the exposure control plan;
- Providing or arranging information and training sessions for all employees having the potential for exposure to bloodborne pathogens, and maintaining appropriate training records;
- Monitoring and recommending the appropriate personal protective equipment and/or garments for protection of employees against contact with blood;

- Monitoring and recommending appropriate disposal and/or decontamination means for items or surfaces contaminated with blood;
- Monitoring and recommending appropriate sharps containers and contaminated laundry containers;
- Monitoring and recommending appropriate cleaning and disinfecting means for equipment, tools, working surfaces, and employee skin and/or mucous membranes that have been contaminated with blood;
- Ensuring all required or needed warning labels and signs are in place.
- Arranging for and monitoring hepatitis B vaccinations; and ensuring that vaccination records, declination waivers, and post-exposure treatment and evaluation records are entered into employees' confidential medical records.

All Employees:

Our employees are key to the success of our bloodborne pathogen program. The ultimate execution of the exposure control plan rests in your hands. In this role, you are responsible for the following:

- Knowing the proper procedures for tasks you perform to minimize potential exposure to bloodborne pathogens;
- Strictly following the procedures established in this exposure control plan, to include proper wearing of appropriate personal protective equipment;
- Promptly reporting actual or potential exposure incidents, or conditions for potential exposure, to your supervisors and the County Safety Officer.
- Making recommendations for improvements to the exposure control plan.

EXPOSURE DETERMINATION

The _____ Department Head and County Safety Officer has determined that **all** employees in the following job classifications have occupational exposure during the course of their normal duties:

_____	_____
_____	_____
_____	_____
_____	_____

Additionally, the following are job classifications in which **some** employees have occupational exposure when required to perform the listed tasks and procedures:

<u>Job Classification</u>	<u>Tasks/Procedures</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

METHODS OF COMPLIANCE

In addition to universal precautions, occupational exposure within _____ will be eliminated or minimized through the use of the following engineering controls, work practices, and personal protective equipment:

Eye, Face, Hand, and Skin Protection

1. Handwashing facilities are provided at _____. All employees must wash their hands and any other exposed skin with soap and running water immediately or as soon as feasible after exposure to blood or other potentially infectious materials, and immediately or as soon as feasible after removal of contaminated gloves and/or other personal protective equipment.
2. During field operations, when handwashing facilities are not available or use is not feasible, the supplied antiseptic hand cleanser, in conjunction with clean cloth/paper towels, or antiseptic towelettes will be used when skin contamination occurs. Hands will then be washed with soap and running water as soon as feasible.
3. Plumbed eyewashes have been installed at the County Highway Garage and at the Department of Public Transportation and portable eyewashes have been provided where applicable. Eyes and other mucous membranes shall be flushed immediately or as soon as feasible, using the eyewashes or other running water sources, following contact of these body areas with blood or other potentially infectious materials.
4. Employees shall cover and seal skin cuts, scratches, abrasions, rashes, or other non-intact skin with impervious bandages or other impervious coverings prior to conducting any tasks where exposure to blood can be reasonably anticipated. Employees will seal cuts, scratches, abrasions or skin eruptions on their hands with impervious bandages prior to donning protective gloves.

5. Disposable (single use) latex gloves or a non-latex glove providing the same protection will be used during any task requiring occupational exposure to blood (one exception as stated below). The gloves will be disposed in contaminated waste containers as soon as practicable when contaminated, or as soon as feasible if they are torn, punctured, or otherwise damaged or deteriorated so as to lose their barrier qualities.
6. Impervious utility gloves may be used by employees for cleaning, disinfecting, and custodial duties when disposable gloves do not provide the strength or durable qualities needed to perform the tasks. Utility gloves may be decontaminated for re-use as long as they maintain their structural integrity and barrier qualities.
7. Surgical masks covering the nose and mouth in combination with eye protection, such as goggles or safety glasses with solid side shields, must be worn whenever splashes, spray, spatters, or droplets of blood are anticipated that could contaminate the eyes, nose, or mouth. A solid full face shield may also be worn under these conditions, in lieu of the mask and goggles or glasses.
8. When contact with a copious amount of blood or body fluids is anticipated, appropriate protective outer garments (such as gowns, aprons, disposable overalls) shall be worn over uniforms or other clothing. These protective garments will be removed immediately or as soon as feasible after contamination, and placed in contaminated laundry or regulated waste containers as appropriate. Employees are not permitted to carry home any type of contaminated personal protective equipment or clothing for cleaning or other use.
9. Eating, drinking, smoking, applying cosmetics or lip balm, and handling contact lens are prohibited in work areas or emergency vehicles where there is a reasonable likelihood of occupational exposure. Food and drink shall not be kept in refrigerators, freezers, shelves, cabinets, or on countertops or benchtops where blood or other infectious materials are present.
10. All procedures involving blood or other potentially infectious materials shall be performed in such a manner as to minimize splashing, spraying, splattering, and generation of droplets of these materials.
11. Mouth pipetting/suctioning of blood or other potentially infectious materials is prohibited unless trained or certified to do so.
12. Mouthpieces, resuscitation bags, pocket masks, or other ventilation devices will be used when administering cardiopulmonary resuscitation (CPR).

Personal Protective Equipment

1. When occupational exposure can be reasonably anticipated, appropriate personal protective equipment will be provided at no cost to the employee. Personal protective equipment shall be considered “appropriate” only if it does not permit blood or other potentially infectious materials to pass through to or reach the employee’s work clothes, street clothes, undergarments, skin, eyes, mouth, or other mucous membranes, under normal circumstances of use and for the duration of time which the protective equipment is used.
2. Employees are required to properly wear the protective equipment with the associated tasks as listed below, unless under extenuating circumstances the employee makes a professional judgment determination that use of the equipment would prevent delivery of health care or public safety services, or would pose an increased hazard to the safety of the employee or fellow employee. When an employee makes this judgment, the circumstances shall be investigated by his/her supervisor and documented on a Schoharie County Employee Accident Investigation Form for determination of how this situation or occurrence can be prevented in the future.

<u>Task</u>	<u>Protective Equipment Required</u>
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<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
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Contaminated Sharps

1. Contaminated needles and other contaminated sharps shall not be bent, recapped, or removed unless no alternative is feasible during a specific medical procedure. Such bending, recapping, or needle removal must be accomplished through the use of a mechanical device or a one-handed technique.
2. Shearing or breaking contaminated needles or other contaminated sharps is prohibited.
3. Immediately or as soon as feasible after use, contaminated reusable sharps shall be placed in appropriate containers until properly removed for decontamination. These containers must be puncture resistant, leak-proof on the sides and bottom, and labeled or color-coded as stated in labeling section of this plan. In no case will an employee reach by hand into the container to retrieve sharps during the decontamination process.

4. Contaminated disposal needles and other disposable sharps shall be placed in contaminated sharps containers immediately or as soon as feasible after use. If a container is not immediately available, the contaminated sharp(s) must be placed or positioned in a manner that prevents an employee from being stuck or cut, and makes it easily retrievable when a container is made available; if feasible, it should be labeled or marked to identify the source individual. If a sharps container is full, preventing the sharp from freely dropping completely into the container, a different container must be used. The sharp must not be forced into the container or left with a portion of the sharp outside the container. At no time will any portion of the fingers or hand be placed into the container opening. **NOTE: Self-sheathing needles will be treated the same as other needles.**
5. Contaminated needles and sharps shall be handled only with impervious protective gloves, taking care to keep the points or sharp edges away from self and fellow employees.
6. Clean needles and other clean sharps shall be kept separate from contaminated needles and other contaminated sharps. If they become mixed, all shall be considered contaminated.
7. Other: _____

Housekeeping

1. All contaminated equipment, materials, and working surfaces shall be cleaned and decontaminated with a commercial tuberculocidal disinfectant or with a household bleach solution of one (1) part bleach to ten (10) parts water (¼ cup bleach to 1 gallon water). Decontamination will be conducted immediately or as soon as feasible after contact with blood or other potentially infectious materials.
2. All protective coverings, such as plastic wrap, aluminum foil, or leak-proof absorbent paper, used to cover equipment or other surfaces, shall be removed and replaced as soon as feasible when they become overtly contaminated or at the end of each work shift if they may have become contaminated during the shift.
3. All bins, pails, cans, or similar receptacles intended for reuse which have a reasonable likelihood of becoming contaminated with blood shall be inspected and decontaminated regularly, and decontaminated immediately or as soon as feasible upon visible contamination.
4. All contaminated waste or contaminated laundry will be placed in containers designated for such.
5. Broken glassware which may be contaminated shall not be picked up directly with the hands; a mechanical means such as brush and dust pan, tongs, tweezers, or forceps will be used.

6. Other: _____

Regulated Waste Disposal

1. All contaminated sharps shall be discarded as soon as feasible in sharps containers. Sharps containers shall be:

- Closeable;
- Puncture resistant;
- Leak-proof on sides and bottom;
- Appropriately labeled or color-coded;
- Easily accessible and close to where sharps are used or can reasonably anticipated to be found;
- Maintained upright throughout use;
- Replaced routinely and not be allowed to overfill;
- Closed during handling, storage, transport, or shipping.

2. Sharps containers for our operations are located at the following locations:

_____	_____
_____	_____
_____	_____
_____	_____

3. All other infectious waste destined for disposal shall be placed in closeable, leak-proof containers or bags that are red in color or labeled with biohazard symbols. These containers are located in the following locations:

_____	_____
_____	_____
_____	_____
_____	_____

4. If any outside contamination or leakage occurs, a sharps container or other infectious waste container will be placed in a secondary container. The secondary container shall be:

- Closeable;
- Constructed to contain all contents and prevent leakage during shipping, handling, storage, transport, and shipping; and

- Appropriately labeled or color-coded.
5. All infectious waste containers must be closed prior to removal or replacement to prevent spillage or protrusion of contents during handling, storage, transport, or shipping.
 6. _____ is responsible within our organization for disposal of infectious waste using the following procedures:

Laundry Procedures

1. Laundry contaminated with blood or other potentially infectious materials will be handled or agitated as little as possible. Such laundry will be placed in red bags, or bags marked with a biohazard symbol, at the location where it was used. It will not be sorted or rinsed in the area of use.
2. All employees who handle contaminated laundry will use personal protective equipment and clothing to prevent contact with blood or other potentially infectious materials.
3. Whenever contaminated laundry is wet and presents a reasonable likelihood to soak-through or leak from the bag or container, the laundry shall be placed and transported in secondary bags or containers which prevent soak-through or leakage of fluids to the exterior.
4. Contaminated laundry at this facility will be cleaned at _____. The person within our organization responsible for ensuring the proper handling, storage, shipping, or cleaning of contaminated laundry is _____.

HEPATITIS B VACCINE

1. All employees who have been identified as having exposure to blood and other potentially infectious materials will be offered the hepatitis B vaccine, at no cost to the employee. Costs of vaccinations will be budgeted by each affected department. The vaccine will be offered within 10 days of an employee's initial assignment to work involving the potential for occupational exposure, unless the employee has previously had the vaccine, antibody testing has revealed that the employee is immune, or the vaccine is contraindicated for medical reasons.
2. An employee who declines the hepatitis B vaccine will sign the Hepatitis B Vaccine Declination Statement (FORM CSD 14) at Attachment 1.
3. If the employee initially declines hepatitis B vaccination but at a later date while still covered under the program decides to accept the vaccination, the vaccination will be made available to the employee at that time.

POST-EXPOSURE EVALUATION AND FOLLOW-UP

1. Each exposure incident must be documented by the employee on an "Exposure Incident Report" (FORM SAF-15) (See Attachment 2). Each portion of this form should be completed with accuracy including all available details. All possible information should be gathered at the location of the exposure. Every effort should be made to identify and document the source individual while at the scene of the incident. Blank Exposure Incident Report forms will be made immediately available in all work areas where exposures can be reasonably expected, including emergency vehicles.
2. Should an exposure incident occur, an immediately available confidential medical evaluation will be conducted by Cobleskill Bassett Hospital or the employee's family doctor. The exposed employee should report to the Emergency Room or family doctor's office as soon as feasible after the exposure incident to begin the sequence of evaluation. The evaluation and follow-up will include the following minimum elements:
 - Documentation of the route(s) of exposure, and the circumstances under which the exposure occurred;
 - If feasible, identification and documentation of the source individual;
 - Testing of the source individual's blood for HBV and HIV infectivity as soon as feasible after consent is obtained (If consent is not obtained, it shall be documented that legal consent could not be obtained). Results of the source individual's blood testing shall be made available to the exposed employee;
 - After obtaining consent from the exposed employee, the attending medical doctor will collect a sample of the employee's blood during the initial visit for testing of HBV and HIV serological status. "If the employee consents to baseline blood collection, but does not give consent at that time for HIV serologic testing, the sample shall be preserved for 90 days. If, within 90 days of the exposure incident, the employee elects to have the baseline tested, such testing shall be as soon as feasible." (29 CFR 1910.1030)

- Post-exposure prophylaxis when medically indicated;
 - Professional counseling of the affected employee; and
 - Evaluation of reported illnesses.
3. The affected employee shall contact his/her supervisor as soon as feasible. The supervisor will contact the County Safety Department at 51-231-3028. The supervisor will also ensure that the Exposure Incident Report form has been properly completed and immediately forwarded to the County Safety Department. The County Safety Department will also provide PERMA with a copy of the OSHA Bloodborne Pathogens Standard and the following information concerning the employee involved in the exposure incident:
- A description of the employee's job duties relevant to the exposure incident;
 - Route(s) of exposure;
 - Circumstances of exposure;
 - If available, results of the source individual's blood test; and
 - Relevant employee medical records, including vaccination status.
4. The County Safety Department shall obtain a copy of the healthcare professional's written opinion, with permission from the affected employee and follow-up with the affected employee within 15 days of the completion of the evaluation. The written opinion shall be limited to the following.
- Whether or not hepatitis B vaccine is indicated for the employee, and whether or not the employee received the vaccination;
 - Indication that the employee has been informed of the results of the evaluation, and told about any medical condition resulting from exposure to blood which requires further evaluation or treatment;
- All other findings and diagnoses shall remain confidential and shall not be included in the written report.**
5. The County Safety Department and/or Perma will track all follow-up care and notify the affected employee of appointments if necessary.

COMMUNICATION OF HAZARDS TO WORKERS

Labels

1. Warning labels will be affixed to all bags or containers of regulated waste and will include the following biohazard symbol:

BIOHAZARD

2. These labels shall be fluorescent orange or orange-red with lettering and symbols in a contrasting color.
3. Labels shall be affixed as close as feasible to the container by string, wire, adhesive, or other method that prevents their loss or unintentional removal.
4. Red bags or red containers may be substituted for labels.

Information and Training

1. All employees who are reasonably anticipated to have occupational exposure to bloodborne pathogens will receive training prior to initial assignment to tasks where occupational exposure may take place, and then at least annually thereafter. Training will be conducted during duty hours at no cost to the employee.
2. Additional training will be given when changes such as modification of tasks or procedures affect the employee's occupational exposure.
3. The training program will contain at minimum the following elements:
 - a. A copy and explanation of the standard;
 - b. A copy and explanation of our exposure control plan;
 - c. Epidemiology and symptoms of bloodborne pathogens;
 - d. Modes of transmission;
 - e. Methods of recognizing tasks or other activities which may involve exposure to blood;
 - f. Use and limitations of engineering controls, work practices, and personal protective equipment;
 - g. Personal protective equipment - types, use, location, removal, handling, decontamination, and disposal;
 - h. Personal protective equipment - the basis for selection;

- i. Hepatitis B vaccine - effectiveness, safety, benefits, methods of administration, and offered free of charge;
- j. Emergency procedures, including actions and contacts, involving blood or other potentially infectious materials;
- k. Exposure incident procedures;
- l. Post-exposure and follow-up;
- m. Signs and labels, and/or color coding; and a
- n. Question and answer session.

RECORDKEEPING

Medical Records

1. Medical records are maintained for each employee with occupational exposure. The County Safety Department is responsible for maintenance of required medical records for all Schoharie County employees. Records of current employees are kept in confidential files at The County Safety Department office. Records of prior employees are archived by Records Management and maintained in compliance with any retention schedules following the last employment date.
2. Medical records will include the following:
 - a. An Employee Exposure Follow-Up Record, FORM CSD-16 (Attachment 3);
 - b. A copy of the employee's hepatitis B vaccinations and any medical records relative to the employee's ability to receive vaccination;
 - c. A copy of all results of examinations, medical testing, and follow-up procedures;
 - d. The employer's copy of the healthcare professional's written opinion;
 - e. A copy of the information provided by the employer to the healthcare professional.
3. Employee medical records shall be kept confidential and will not be disclosed or reported to anyone within or outside the workplace without the express written consent of the employee.

Training Records

1. A record of bloodborne pathogen training will be maintained by the County Safety Department.
2. Training records shall be maintained by each by calendar year for three (3) years following the year in which the training was received.

SCHOHARIE COUNTY

HEPATITIS B VACCINE DECLINATION STATEMENT

I understand that due to my occupational exposure to blood or other potentially infectious materials I may be at risk of acquiring Hepatitis B Virus (HBV) infection. I have been given the opportunity to be vaccinated with Hepatitis B vaccine, at no charge to myself. However, I decline Hepatitis B vaccination at this time. I understand that by declining this vaccine, I continue to be at risk of acquiring Hepatitis B, a serious disease. If in the future I continue to have occupational exposure to blood or other potentially infectious materials and I want to be vaccinated with Hepatitis B vaccine, I can receive the vaccination at no charge to me.

PRINTED NAME

SIGNATURE

SOCIAL SECURITY NUMBER

TODAY'S DATE

SCHOHARIE COUNTY
BLOODBORNE PATHOGENS
EXPOSURE INCIDENT REPORT

Please Print

Today's Date _____

Name _____ SS# _____

Home Phone _____ Work Phone _____

DOB _____ Job Title _____

Date of Exposure _____ Time of Exposure _____

Location of Incident (Be Specific): _____

Nature of Incident (Auto Accident, Medical Emergency, Custodial Duties, Etc. - Be Specific):

Describe what task(s) you were performing when the exposure occurred (Be Specific): _____

Were you wearing personal protective equipment (PPE)? YES _____ NO _____

If yes, List type _____

Did the PPE Fail? YES _____ NO _____ If yes, explain how it failed _____

What body fluids were you exposed to during the incident? Be Specific: _____

Have you been vaccinated for Hepatitis B? (Check One) YES _____ NO _____

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What parts of your body became exposed? Be Specific.

Did you have any cuts, scratches, rashes, or other non-intact skin that were exposed to blood or other body fluids? YES _____ NO _____

If yes, describe in detail: _____

Did any contaminated foreign object (needle, wire, broken glass, knife, etc.) penetrate any portion of your body? YES _____ NO _____

If yes, what was the object? _____

Where did it penetrate your body? _____

Did you receive medical attention? YES _____ NO _____

If yes, where? _____

When? _____ By Whom? _____

Name, address and phone number of source individual(s). (If source individual cannot be determined, list names, addresses, and phone numbers of all potential source individuals.)

Other pertinent information about source individual (such as nature of injury, illness, treatment, admission into medical facility, permanent resident or visitor, length of visit, or other information volunteered by the individual). _____

Names and phone numbers of witnesses of the incident.

SCHOHARIE COUNTY
EMPLOYEE EXPOSURE FOLLOW-UP RECORD

Employee's Name _____ SS# _____

Department _____ Job Title _____

Exposure Date _____ Date Reported _____

EXPOSURE INCIDENT REPORT COMPLETED: Date _____

SOURCE INDIVIDUAL FOLLOW-UP:

Request made to _____

Date _____ Time _____

Blood testing completed (Date) _____ Consent not received _____

Source individual not identified _____

Source individual's blood test results given to employee (Date) _____

EMPLOYEE FOLLOW-UP:

Blood Sampling/Testing Offered:

By Whom? _____ Date _____

Blood testing completed (Date) _____ Consent not received _____

Referred to Healthcare Professional with Required Information:

By Whom? _____ Date _____

Name of healthcare professional _____

Healthcare professional's written opinion received (Date) _____

Provided to employee (Date) _____

Hepatitis B Vaccination Offered/Recommended:

By Whom? _____ Date _____

Dates of vaccination _____

Declined _____ (include statement in file)

Counseling Offered:

By Whom? _____ Date _____

Name of Counselor _____

Employee Advised of Need for Further Evaluation of Medical Condition:

By Whom? _____ Date _____

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Appendix K

Section 209 Investigations

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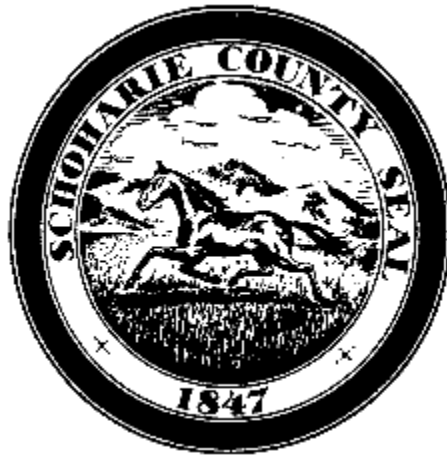
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209. **Investigations.** The Board of Supervisors is empowered to conduct an investigation into any subject matter within its jurisdiction, including the conduct and performance or official duties of any officer or employee paid from county funds and the accounting for all money or property owned by or under the control of the county. The power to conduct investigations may be delegated to a committee of the board. The Chairman of the Board and any member of such committee may issue a subpoena requiring a person to attend before the Board or such committee and be examined in reference to any matter within the scope of the investigation, and in a proper case to produce all books, records, papers and documents material or relevant to the investigation. A subpoena issued under this section shall be regulated by the civil practice law and rules. The Chairman of the Board and any member of such committee may administer the oath to any witness and adjournments may be taken from time to time

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Appendix L

County Forms

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FAMILY & MEDICAL LEAVE ACT (FMLA)

POLICY FOR THE COUNTY OF SCHOHARIE

The following Family & Medical Leave Act (FMLA) Policy for Schoharie County is based on federal regulations:

FMLA is intended to allow employees to balance their work and family life by taking unpaid leave for an employee's serious health condition, for the birth, adoption, or placement of a foster child, and for the care of a child, spouse, or parent who has a serious health condition. FMLA is intended to balance the demands of the workplace with the needs of families, to promote the stability and economic security of families and to promote national interests in preserving family integrity.

Policy:

Eligibility - Employees are eligible if they have worked for Schoharie County for at least 12 months and worked at least 1,250 hours in the 12 months preceding the commencement of the leave. FMLA provides eligible employees use up to a total of 12 weeks of unpaid job protected leave in any calendar year with the proper documentation for the following types of reasons:

- * for incapacity due to pregnancy, prenatal medical care, or child birth;
- * to care for the employee's spouse, child, or parent who has a serious health condition;
- * for a serious health condition that makes the employee unable to perform the employee's job; or
- * for a eligible employees whose spouse, son, daughter, or parent is on covered active or call to covered active duty status for certain qualifying exigencies.

If the period of absence spans two calendar years, then the employee must be granted the remaining balance for the current year and may also be eligible for the next year's full 12 week entitlement as soon as that year begins.

FMLA Definitions:

1. **A covered service member** is a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list for a serious injury or illness, or a **veteran** who was discharged or released under conditions other than dishonorable at any time during the five-year-period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness.

2. **A serious health condition** (defined differently than serious injury or illness for service members and veterans) is an illness, injury, impairment or physical or mental condition that involves:

- a. Either an overnight stay in a medical care facility; or
- b. Continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job; or
- c. Prevents the qualified family member from participating in school or other daily activities; or
- d. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

3. **A serious injury or illness for a current service member** includes injuries or illnesses that existed before the beginning of the member's active duty and were aggravated by service in the line of duty on active duty in the Armed Forces.

4. **A serious injury or illness for a covered veteran** means an injury or illness that was incurred or aggravated by the member in the line of duty on active duty in the Armed Forces and manifested itself before or after the member became a veteran, and is;

- a. A continuation of a serious injury or illness that was incurred or aggravated with the covered veteran was a member of the Armed Forces and rendered the service member unable to perform the duties of the service member's office, grade, rank, or rating; or
- b. A physical or mental condition for which the covered veteran has received a VA Service Related Disability Rating (VASRD) of 50 percent or greater and such VASRD rating is based, in whole or in part, on the condition precipitating the need for caregiver leave; or
- c. A physical or mental condition that substantially impairs the veteran's ability to secure or follow a substantially gainful occupation by reason of a disability of disabilities related to military service or would do so absent treatment; or
- d. An injury, including a psychological injury, on the basis of which the covered veteran has been enrolled in the Department of Veterans Affairs Program of Comprehensive Assistance for Family Caregivers.

5. **Covered active duty** requires deployment to a foreign country.

6. **A child** is a biological, adopted or foster child, stepchild, legal ward or a child of a person standing in loco parentis (in place of parents) who is either under the age of 18 or age 18 or older and incapable of self-care because of a physical or mental disability.

7. **A parent** is a biological or adoptive parent or an individual who stands or stood in loco parentis (in the place of parents) to an employee when the employee was a child.

8. **A spouse** is a husband or wife as recognized under State Law for purposes of marriage, including common law marriages where recognized. New York State recognizes only those common law marriages which originated in States that recognize their legal status.

Military Leave Entitlements:

Eligibility - Generally, employees are eligible if they have worked for Schoharie County for at least 12 months and worked at least 1,250 hours in the 12 months preceding the commencement of the leave. Employees who are themselves members of the National Guard, Reserves or the Regular Armed Forces will be given credit for any months and hours of service he or she would have been employed but for the military service in determining eligibility for FMLA leave. Thus, an employee may be absent from work for a significant period of time because of a military deployment, and shortly after returning, apply for FMLA leave and qualify despite having worked for less than 12 months. Example: An employee (who is a reservist in the Marine Corps) starts work for the County on January 1, 2008, but on July 1, 2008 he/she is recalled to covered active duty and deploys to Afghanistan. The employee returns to work on February 1, 2009. Two weeks later the employee applies for FMLA leave. Despite only working for the County for 6 1/2 months and accumulating merely 1,120 hours (assuming a 40 hour work week for 28 weeks), the employee IS eligible for FMLA leave.

Military Caregiver Leave - An eligible employee who is a spouse, son, daughter, parent, or next of kin of a covered service member with a serious injury or illness by FMLA definitions, must be granted up to a total of **26 work weeks** of unpaid leave during a "a single 12 month period" to care for a covered service member. The **"single 12 month period" for leave to care for a covered service member with a serious injury or illness begins on the first day the employee takes leave for this reason and ends 12 months after that date**. If an eligible employee does not take all of his or her 26 work weeks of leave entitlement to care for a covered service member during this "single 12 - month period," the remaining part of his or her 26 work weeks of leave entitlement to care for the covered service member is forfeited.

Qualifying Exigency Leave - An eligible employee must be granted up to a total of **12 work weeks** of unpaid leave during a calendar year for qualifying exigencies arising out of the fact that the employee's spouse, son, daughter, or parent is on covered active duty, or has been notified of an impending call or order to covered active duty. Under the terms of the statute, qualifying exigency leave is available to a family member of a military member in the National Guard, Reserves and Regular Armed Forces.

Qualifying Exigencies -

a. Issues arising from a military member's short notice of deployment (i.e., deployment on seven or less days of notice) for a period of seven days from the date of notification; or

b. Military events and related activities, such as official ceremonies, programs, or events sponsored by the military or family support or assistance programs and informational briefings sponsored by the military, military service organizations, or the American Red Cross that are related to the covered active duty or call to covered active duty status of a military member; or

c. Certain childcare and related activities arising from the covered active duty or call to covered active duty status of a military member, such as arranging for alternative childcare, providing childcare on a non-routine, urgent, immediate need basis, enrolling or transferring a child to a new school or day care facility, and attending certain meetings at school or a day care facility if they are necessary due to circumstances arising from the covered active duty or call to covered active duty of the military member; or

d. Making or updating financial and legal arrangements to address a covered military member's absence; or

e. Attending counseling provided by someone other than a health care provider for oneself, for the military member, or the child of the military member, the need for which arises from the covered active duty or call to covered active duty status of the military member; or

f. Taking up to 15 days to leave of leave to spend time with a military member who is on short-term temporary, rest and recuperation leave during deployment. Copy of military member's Rest and Recuperation leave orders or other documentation issued by Military setting forth dates of military member's leave; or

g. Attending certain post-deployment activities, including attending arrival ceremonies, reintegration briefings and events, and other official ceremonies or programs sponsored by the military for a period of 90 days following the termination of the military member's covered active duty status, and addressing issues arising from the death of a military member; or

h. Eligible employees may take leave to care for a military member's parent who is incapable of self-care when the care is necessitated by the member's covered active duty. Such care may include arranging for alternative care, providing care on an immediate need basis, admitting or transferring the parent to a care facility, or attending meetings with staff at a care facility; or

i. Any other event that the employee and County agree is a qualifying exigency.

Although spouses employed by the same County are generally limited to a combined total of 12 weeks FMLA leave in a single 12 month period for the birth and care of a newborn child, placement of a child for adoption or foster care, or to care for a parent who has a serious health condition; this combined total is increased to 26 weeks if the leave is to care for a covered service member with a serious injury or illness. However, such leave shall not exceed 12 weeks for any of the circumstances detailed above, other than caring for a covered service member.

FMLA may be taken intermittently whenever medically necessary to care for a covered service member with a serious injury or illness. FMLA leave may also be taken intermittently for a qualifying exigency

arising out of the covered active duty status or call to active duty of a military member. When leave is needed for planned medical treatment, the employee must make a reasonable effort to schedule treatment so as not to unduly disrupt the County's operation.

Responsibilities:

Employees - The employee must, whenever possible, give their supervisor at least 30 days notice of the leave. The employee must also attempt to schedule a foreseeable leave so as not to unduly disrupt the department's operation. In the case of an unexpected disability, the employee must make a request as soon as practical. The employee is always responsible for obtaining needed medical certification to support any FMLA leave.

Supervisors - Department will need to keep an ongoing record of all leaves, including FMLA granted to an employee throughout each calendar year. Copies of the documents that support the employee's FMLA leave should be forwarded to the personnel file as part of their permanent employee medical record.

Limitations on Leave Requests:

Each time an employee requests leave, the appropriate official will determine the following:

1. Whether the circumstances constitute a qualifying FMLA event. When an employee requests leave, the appropriate official determines if the request is a qualifying event under FMLA based on the verbal or written information provided by the employee, even if the employee does not specifically request the leave under FMLA. If the information provided is insufficient or unclear, the appropriate official may request additional information in order to make the determination except where prohibited by law. **The appropriate official must notify the employee that their leave has been designated as FMLA before the leave ends and the employee returns back to work.**
2. The first 12 weeks of an absence in a calendar year for FMLA qualifying reasons can be deemed FMLA leave by the appropriate official if the employee is so notified. For example, an employee that has been out 10 days during a calendar year to care for a child that has a serious health condition (see definitions) can be deemed to have used 2 weeks of their 12 week FMLA leave entitlement for the calendar year, even if the employee did not specifically request the leave as FMLA
3. When the basis of the leave is for personal or family illness, taking the leave intermittently is permissible; except when the basis of the FMLA leave is either of the types of child-rearing, then taking the leave is not allowed, unless the appropriate official finds that it is in the best interest for the County and the employee. Should the leave be taken on an intermittent basis, it shall not be used in units of less than one hour.
4. **It is the policy of the County that all accrued leave time, (sick, vacation, personal, compensatory) be used prior to FMLA and that FMLA will run after all accrued time is exhausted. The County will**

require a fit for duty statement from the doctor on return to work from leave. The County will use a calendar year as a cycle for employees using FMLA.

Certification Requirements:

Generally:

Except for military family leave, the County may require second or third medical opinions (at the County's expense) and periodic recertification of a serious health condition. The County may use a health care provider, a human resource professional, a leave administrator, or a management official - **but not the employee's direct supervisor or Department Head** - to authenticate or clarify a medical certification of a serious health condition. The County will require employees returning from leave for their own serious health condition to submit a certification that they are able to resume work. If reasonable safety concerns exist, the County may, under certain circumstances, require such a certification for employees returning from intermittent FMLA leave.

Military Family Leave:

The County may require that an employee's request for military family leave be supported by an appropriate certification. Specifically, the County may require that leave for a qualifying exigency be supported by a copy of the military member's covered active duty orders and certification providing the appropriate facts related to the particular qualifying exigency for which leave is sought, including whether the military member is a veteran, the date of separation and whether separation was other than dishonorable, and contact information if the leave involves meeting with a third party. In addition, the County may require that leave to care for a covered service member with a serious injury or illness be supported by a certification completed by an authorized health care provider, or a copy of an Invitational Travel Order (ITO) or Invitational Travel Authorization (ITA) issued to any member of the covered service member's family, where applicable.

Second and third opinions and recertification are not permitted and shall not be requested for certification of a covered service member's serious injury or illness or of a qualifying exigency. Eligible employees may obtain certification of a service member's serious injury or illness from any health care provider as defined in the FMLA regulations, not just from those affiliated with the departments of Defense or Veterans Affairs. The County may use a health care provider, a human resource professional, a leave administrator, or a management official - **but not the employee's direct supervisor or Department Head** - to authenticate or clarify a medical certification of a serious injury or illness, or an ITO or ITA. Additionally, the County may contact the individual or entity named in a certification of leave for a qualifying exigency for purposes of verifying the existence and nature of the meeting.

Health Insurance Continuation:

The FMLA also affects an employee's health and other insurance benefits. The law requires continuation of existing benefits during the period of FMLA leave for employees who are otherwise eligible for those benefits. This means that if an employee is enrolled for health, prescription drug, or

life coverage, these benefits must continue during the FMLA leave period and the employee is required to pay the same cost he/she would pay while in active work status (if the employee pays no cost for a benefit in active work status the benefit must continue during the FMLA period at no cost).

Workers' Compensation and FMLA:

If an employee is out on Workers' Compensation, you should also designate this period of time as FMLA, if the reason for the Workers' Compensation meets the eligibility criteria for FMLA. The law permits FMLA and Workers' Compensation leaves to run concurrently.

Certification of Health Care Provider for
Employee's Serious Health Condition
(Family and Medical Leave Act)

U.S. Department of Labor
Wage and Hour Division



OMB Control Number: 1235-0003
Expires: 2/28/2015

SECTION I: For Completion by the EMPLOYER

INSTRUCTIONS to the EMPLOYER: The Family and Medical Leave Act (FMLA) provides that an employer may require an employee seeking FMLA protections because of a need for leave due to a serious health condition to submit a medical certification issued by the employee's health care provider. Please complete Section I before giving this form to your employee. Your response is voluntary. While you are not required to use this form, you may not ask the employee to provide more information than allowed under the FMLA regulations, 29 C.F.R. §§ 825.306-825.308. Employers must generally maintain records and documents relating to medical certifications, recertifications, or medical histories of employees created for FMLA purposes as confidential medical records in separate files/records from the usual personnel files and in accordance with 29 C.F.R. § 1630.14(c)(1), if the Americans with Disabilities Act applies.

Employer name and contact: _____

Employee's job title: _____ Regular work schedule: _____

Employee's essential job functions: _____

Check if job description is attached: _____

SECTION II: For Completion by the EMPLOYEE

INSTRUCTIONS to the EMPLOYEE: Please complete Section II before giving this form to your medical provider. The FMLA permits an employer to require that you submit a timely, complete, and sufficient medical certification to support a request for FMLA leave due to your own serious health condition. If requested by your employer, your response is required to obtain or retain the benefit of FMLA protections. 29 U.S.C. §§ 2613, 2614(c)(3). Failure to provide a complete and sufficient medical certification may result in a denial of your FMLA request. 20 C.F.R. § 825.313. Your employer must give you at least 15 calendar days to return this form. 29 C.F.R. § 825.305(b).

Your name: _____
First Middle Last

SECTION III: For Completion by the HEALTH CARE PROVIDER

INSTRUCTIONS to the HEALTH CARE PROVIDER: Your patient has requested leave under the FMLA. Answer, fully and completely, all applicable parts. Several questions seek a response as to the frequency or duration of a condition, treatment, etc. Your answer should be your best estimate based upon your medical knowledge, experience, and examination of the patient. Be as specific as you can; terms such as "lifetime," "unknown," or "indeterminate" may not be sufficient to determine FMLA coverage. Limit your responses to the condition for which the employee is seeking leave. Please be sure to sign the form on the last page.

Provider's name and business address: _____

Type of practice / Medical specialty: _____

Telephone: (_____) _____ Fax: (_____) _____

PART A: MEDICAL FACTS

1. Approximate date condition commenced: _____

Probable duration of condition: _____

Mark below as applicable:

Was the patient admitted for an overnight stay in a hospital, hospice, or residential medical care facility?

___ No ___ Yes. If so, dates of admission:

Date(s) you treated the patient for condition:

Will the patient need to have treatment visits at least twice per year due to the condition? ___ No ___ Yes.

Was medication, other than over-the-counter medication, prescribed? ___ No ___ Yes.

Was the patient referred to other health care provider(s) for evaluation or treatment (e.g., physical therapist)?

___ No ___ Yes. If so, state the nature of such treatments and expected duration of treatment:

2. Is the medical condition pregnancy? ___ No ___ Yes. If so, expected delivery date: _____

3. Use the information provided by the employer in Section I to answer this question. If the employer fails to provide a list of the employee's essential functions or a job description, answer these questions based upon the employee's own description of his/her job functions.

Is the employee unable to perform any of his/her job functions due to the condition: ___ No ___ Yes.

If so, identify the job functions the employee is unable to perform:

4. Describe other relevant medical facts, if any, related to the condition for which the employee seeks leave (such medical facts may include symptoms, diagnosis, or any regimen of continuing treatment such as the use of specialized equipment):

PART B: AMOUNT OF LEAVE NEEDED

5. Will the employee be incapacitated for a single continuous period of time due to his/her medical condition, including any time for treatment and recovery? ___No ___Yes.

If so, estimate the beginning and ending dates for the period of incapacity: _____

6. Will the employee need to attend follow-up treatment appointments or work part-time or on a reduced schedule because of the employee's medical condition? ___No ___Yes.

If so, are the treatments or the reduced number of hours of work medically necessary?
___No ___Yes.

Estimate treatment schedule, if any, including the dates of any scheduled appointments and the time required for each appointment, including any recovery period:

Estimate the part-time or reduced work schedule the employee needs, if any:

_____ hour(s) per day; _____ days per week from _____ through _____

7. Will the condition cause episodic flare-ups periodically preventing the employee from performing his/her job functions? ___No ___Yes.

Is it medically necessary for the employee to be absent from work during the flare-ups?
___ No ___ Yes. If so, explain:

Based upon the patient's medical history and your knowledge of the medical condition, estimate the frequency of flare-ups and the duration of related incapacity that the patient may have over the next 6 months (e.g., 1 episode every 3 months lasting 1-2 days):

Frequency : _____ times per _____ week(s) _____ month(s)

Duration: _____ hours or ___ day(s) per episode

ADDITIONAL INFORMATION: IDENTIFY QUESTION NUMBER WITH YOUR ADDITIONAL ANSWER.

Certification of Health Care Provider for
Family Member's Serious Health Condition
(Family and Medical Leave Act)

U.S. Department of Labor
Wage and Hour Division



OMB Control Number: 1235-0003
Expires: 2/28/2015

SECTION I: For Completion by the EMPLOYER

INSTRUCTIONS to the EMPLOYER: The Family and Medical Leave Act (FMLA) provides that an employer may require an employee seeking FMLA protections because of a need for leave to care for a covered family member with a serious health condition to submit a medical certification issued by the health care provider of the covered family member. Please complete Section I before giving this form to your employee. Your response is voluntary. While you are not required to use this form, you may not ask the employee to provide more information than allowed under the FMLA regulations, 29 C.F.R. §§ 825.306-825.308. Employers must generally maintain records and documents relating to medical certifications, recertifications, or medical histories of employees' family members, created for FMLA purposes as confidential medical records in separate files/records from the usual personnel files and in accordance with 29 C.F.R. § 1630.14(c)(1), if the Americans with Disabilities Act applies.

Employer name and contact: _____

SECTION II: For Completion by the EMPLOYEE

INSTRUCTIONS to the EMPLOYEE: Please complete Section II before giving this form to your family member or his/her medical provider. The FMLA permits an employer to require that you submit a timely, complete, and sufficient medical certification to support a request for FMLA leave to care for a covered family member with a serious health condition. If requested by your employer, your response is required to obtain or retain the benefit of FMLA protections. 29 U.S.C. §§ 2613, 2614(c)(3). Failure to provide a complete and sufficient medical certification may result in a denial of your FMLA request. 29 C.F.R. § 825.313. Your employer must give you at least 15 calendar days to return this form to your employer. 29 C.F.R. § 825.305.

Your name: _____
First Middle Last

Name of family member for whom you will provide care: _____
First Middle Last

Relationship of family member to you: _____

If family member is your son or daughter, date of birth: _____

Describe care you will provide to your family member and estimate leave needed to provide care:

Employee Signature _____ Date _____

SECTION III: For Completion by the HEALTH CARE PROVIDER

INSTRUCTIONS to the HEALTH CARE PROVIDER: The employee listed above has requested leave under the FMLA to care for your patient. Answer, fully and completely, all applicable parts below. Several questions seek a response as to the frequency or duration of a condition, treatment, etc. Your answer should be your best estimate based upon your medical knowledge, experience, and examination of the patient. Be as specific as you can; terms such as "lifetime," "unknown," or "indeterminate" may not be sufficient to determine FMLA coverage. Limit your responses to the condition for which the patient needs leave. Page 3 provides space for additional information, should you need it. Please be sure to sign the form on the last page.

Provider's name and business address: _____

Type of practice / Medical specialty: _____

Telephone: (_____) _____ Fax: (_____) _____

PART A: MEDICAL FACTS

1. Approximate date condition commenced: _____

Probable duration of condition: _____

Was the patient admitted for an overnight stay in a hospital, hospice, or residential medical care facility?

___ No ___ Yes. If so, dates of admission: _____

Date(s) you treated the patient for condition: _____

Was medication, other than over-the-counter medication, prescribed? ___ No ___ Yes.

Will the patient need to have treatment visits at least twice per year due to the condition? ___ No ___ Yes

Was the patient referred to other health care provider(s) for evaluation or treatment (e.g., physical therapist)?

___ No ___ Yes. If so, state the nature of such treatments and expected duration of treatment:

2. Is the medical condition pregnancy? ___ No ___ Yes. If so, expected delivery date: _____

3. Describe other relevant medical facts, if any, related to the condition for which the patient needs care (such medical facts may include symptoms, diagnosis, or any regimen of continuing treatment such as the use of specialized equipment):

PART B: AMOUNT OF CARE NEEDED: When answering these questions, keep in mind that your patient's need for care by the employee seeking leave may include assistance with basic medical, hygienic, nutritional, safety or transportation needs, or the provision of physical or psychological care:

4. Will the patient be incapacitated for a single continuous period of time, including any time for treatment and recovery? ___ No ___ Yes.

Estimate the beginning and ending dates for the period of incapacity: _____

During this time, will the patient need care? ___ No ___ Yes.

Explain the care needed by the patient and why such care is medically necessary:

5. Will the patient require follow-up treatments, including any time for recovery? ___ No ___ Yes.

Estimate treatment schedule, if any, including the dates of any scheduled appointments and the time required for each appointment, including any recovery period:

Explain the care needed by the patient, and why such care is medically necessary: _____

6. Will the patient require care on an intermittent or reduced schedule basis, including any time for recovery? ___ No ___ Yes.

Estimate the hours the patient needs care on an intermittent basis, if any:

_____ hour(s) per day; _____ days per week from _____ through _____

Explain the care needed by the patient, and why such care is medically necessary:

7. Will the condition cause episodic flare-ups periodically preventing the patient from participating in normal daily activities? ____ No ____ Yes.

Based upon the patient's medical history and your knowledge of the medical condition, estimate the frequency of flare-ups and the duration of related incapacity that the patient may have over the next 6 months (e.g., 1 episode every 3 months lasting 1-2 days):

Frequency: ____ times per ____ week(s) ____ month(s)

Duration: ____ hours or ____ day(s) per episode

Does the patient need care during these flare-ups? ____ No ____ Yes.

Explain the care needed by the patient, and why such care is medically necessary: _____

ADDITIONAL INFORMATION: IDENTIFY QUESTION NUMBER WITH YOUR ADDITIONAL ANSWER.

Signature of Health Care Provider

Date

PAPERWORK REDUCTION ACT NOTICE AND PUBLIC BURDEN STATEMENT

If submitted, it is mandatory for employers to retain a copy of this disclosure in their records for three years. 29 U.S.C. § 2616; 29 C.F.R. § 825.500. Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. The Department of Labor estimates that it will take an average of 20 minutes for respondents to complete this collection of information, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding this burden estimate or any other aspect of this collection information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S-3502, 200 Constitution Ave., NW, Washington, DC 20210.

DO NOT SEND COMPLETED FORM TO THE DEPARTMENT OF LABOR; RETURN TO THE PATIENT.

Designation Notice
(Family and Medical Leave Act)

U.S. Department of Labor
Wage and Hour Division



OMB Control Number: 1235-0003

Expires: 2/28/2015

Leave covered under the Family and Medical Leave Act (FMLA) must be designated as FMLA-protected and the employer must inform the employee of the amount of leave that will be counted against the employee's FMLA leave entitlement. In order to determine whether leave is covered under the FMLA, the employer may request that the leave be supported by a certification. If the certification is incomplete or insufficient, the employer must state in writing what additional information is necessary to make the certification complete and sufficient. While use of this form by employers is optional, a fully completed Form WH-382 provides an easy method of providing employees with the written information required by 29 C.F.R. §§ 825.300(c), 825.301, and 825.305(c).

To: _____

Date: _____

We have reviewed your request for leave under the FMLA and any supporting documentation that you have provided.
We received your most recent information on _____ and decided:

_____ **Your FMLA leave request is approved. All leave taken for this reason will be designated as FMLA leave.**

The FMLA requires that you notify us as soon as practicable if dates of scheduled leave change or are extended, or were initially unknown. Based on the information you have provided to date, we are providing the following information about the amount of time that will be counted against your leave entitlement:

_____ Provided there is no deviation from your anticipated leave schedule, the following number of hours, days, or weeks will be counted against your leave entitlement: _____

_____ Because the leave you will need will be unscheduled, it is not possible to provide the hours, days, or weeks that will be counted against your FMLA entitlement at this time. You have the right to request this information once in a 30-day period (if leave was taken in the 30-day period).

Please be advised (check if applicable):

_____ You have requested to use paid leave during your FMLA leave. Any paid leave taken for this reason will count against your FMLA leave entitlement.

_____ We are requiring you to substitute or use paid leave during your FMLA leave.

_____ You will be required to present a fitness-for-duty certificate to be restored to employment. If such certification is not timely received, your return to work may be delayed until certification is provided. A list of the essential functions of your position _____ **is** _____ **is not** attached. If attached, the fitness-for-duty certification must address your ability to perform these functions.

_____ **Additional information is needed to determine if your FMLA leave request can be approved:**

_____ The certification you have provided is not complete and sufficient to determine whether the FMLA applies to your leave request. You must provide the following information no later than _____, unless it is not practicable under the particular circumstances despite your diligent good faith efforts, or your leave may be denied.
(Provide at least seven calendar days)

(Specify information needed to make the certification complete and sufficient)

_____ We are exercising our right to have you obtain a second or third opinion medical certification at our expense, and we will provide further details at a later time.

_____ Your FMLA Leave request is Not Approved.

_____ The FMLA does not apply to your leave request.

_____ You have exhausted your FMLA leave entitlement in the applicable 12-month period.

PAPERWORK REDUCTION ACT NOTICE AND PUBLIC BURDEN STATEMENT

It is mandatory for employers to inform employees in writing whether leave requested under the FMLA has been determined to be covered under the FMLA. 29 U.S.C. § 2617; 29 C.F.R. §§ 825.300(d), (e). It is mandatory for employers to retain a copy of this disclosure in their records for three years. 29 U.S.C. § 2616; 29 C.F.R. § 825.500. Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. The Department of Labor estimates that it will take an average of 10 – 30 minutes for respondents to complete this collection of information, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding this burden estimate or any other aspect of this collection information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S-3502, 200 Constitution Ave., NW, Washington, DC 20210. **DO NOT SEND THE COMPLETED FORM TO THE WAGE AND HOUR DIVISION.**

Notice of Eligibility and Rights & Responsibilities
(Family and Medical Leave Act)

U.S. Department of Labor
Wage and Hour Division



OMB Control Number: 1235-0003
Expires: 2/28/2015

In general, to be eligible an employee must have worked for an employer for at least 12 months, meet the hours of service requirement in the 12 months preceding the leave, and work at a site with at least 50 employees within 75 miles. While use of this form by employers is optional, a fully completed Form WH-381 provides employees with the information required by 29 C.F.R. § 825.300(b), which must be provided within five business days of the employee notifying the employer of the need for FMLA leave. Part B provides employees with information regarding their rights and responsibilities for taking FMLA leave, as required by 29 C.F.R. § 825.300(b), (c).

[Part A – NOTICE OF ELIGIBILITY]

TO: _____
Employee

FROM: _____
Employer Representative

DATE: _____

On _____, you informed us that you needed leave beginning on _____ for:

- ☐ The birth of a child, or placement of a child with you for adoption or foster care;
- ☐ Your own serious health condition;
- ☐ Because you are needed to care for your _____ spouse; _____ child; _____ parent due to his/her serious health condition.
- ☐ Because of a qualifying exigency arising out of the fact that your _____ spouse; _____ son or daughter; _____ parent is on covered active duty or call to covered active duty status with the Armed Forces.
- ☐ Because you are the _____ spouse; _____ son or daughter; _____ parent; _____ next of kin of a covered servicemember with a serious injury or illness.

This Notice is to inform you that you:

- ☐ Are eligible for FMLA leave (See Part B below for Rights and Responsibilities)
- ☐ Are **not** eligible for FMLA leave, because (only one reason need be checked, although you may not be eligible for other reasons):
- ☐ You have not met the FMLA's 12-month length of service requirement. As of the first date of requested leave, you will have worked approximately _____ months towards this requirement.
- ☐ You have not met the FMLA's hours of service requirement.
- ☐ You do not work and/or report to a site with 50 or more employees within 75-miles.

If you have any questions, contact _____ or view the
FMLA poster located in _____.

[PART B-RIGHTS AND RESPONSIBILITIES FOR TAKING FMLA LEAVE]

As explained in Part A, you meet the eligibility requirements for taking FMLA leave and still have FMLA leave available in the applicable 12-month period. **However, in order for us to determine whether your absence qualifies as FMLA leave, you must return the following information to us by _____.** (If a certification is requested, employers must allow at least 15 calendar days from receipt of this notice; additional time may be required in some circumstances.) If sufficient information is not provided in a timely manner, your leave may be denied.

- ☐ Sufficient certification to support your request for FMLA leave. A certification form that sets forth the information necessary to support your request _____ is/_____ is not enclosed.
- ☐ Sufficient documentation to establish the required relationship between you and your family member.
- ☐ Other information needed (such as documentation for military family leave): _____
- _____
- _____

No additional information requested

If your leave does qualify as FMLA leave you will have the following **responsibilities** while on FMLA leave (only checked blanks apply):

- _____ Contact _____ at _____ to make arrangements to continue to make your share of the premium payments on your health insurance to maintain health benefits while you are on leave. You have a minimum 30-day (or, indicate longer period, if applicable) grace period in which to make premium payments. If payment is not made timely, your group health insurance may be cancelled, provided we notify you in writing at least 15 days before the date that your health coverage will lapse, or, at our option, we may pay your share of the premiums during FMLA leave, and recover these payments from you upon your return to work.
- _____ You will be required to use your available paid _____ **sick**, _____ **vacation**, and/or _____ **other leave** during your FMLA absence. This means that you will receive your paid leave and the leave will also be considered protected FMLA leave and counted against your FMLA leave entitlement.
- _____ Due to your status within the company, you are considered a "key employee" as defined in the FMLA. As a "key employee," restoration to employment may be denied following FMLA leave on the grounds that such restoration will cause substantial and grievous economic injury to us. We have/_____ **have not** determined that restoring you to employment at the conclusion of FMLA leave will cause substantial and grievous economic harm to us.
- _____ While on leave you will be required to furnish us with periodic reports of your status and intent to return to work every _____.
(Indicate interval of periodic reports, as appropriate for the particular leave situation).

If the circumstances of your leave change, and you are able to return to work earlier than the date indicated on the this form, you will be required to notify us at least two workdays prior to the date you intend to report for work.

If your leave does qualify as FMLA leave you will have the following **rights** while on FMLA leave:

- You have a right under the FMLA for up to 12 weeks of unpaid leave in a 12-month period calculated as:
_____ the calendar year (January – December).
_____ a fixed leave year based on _____.
_____ the 12-month period measured forward from the date of your first FMLA leave usage.
_____ a "rolling" 12-month period measured backward from the date of any FMLA leave usage.
- You have a right under the FMLA for up to 26 weeks of unpaid leave in a single 12-month period to care for a covered servicemember with a serious injury or illness. This single 12-month period commenced on _____.
- Your health benefits must be maintained during any period of unpaid leave under the same conditions as if you continued to work.
- You must be reinstated to the same or an equivalent job with the same pay, benefits, and terms and conditions of employment on your return from FMLA-protected leave. (If your leave extends beyond the end of your FMLA entitlement, you do not have return rights under FMLA.)
- If you do not return to work following FMLA leave for a reason other than: 1) the continuation, recurrence, or onset of a serious health condition which would entitle you to FMLA leave; 2) the continuation, recurrence, or onset of a covered servicemember's serious injury or illness which would entitle you to FMLA leave; or 3) other circumstances beyond your control, you may be required to reimburse us for our share of health insurance premiums paid on your behalf during your FMLA leave.
- If we have not informed you above that you must use accrued paid leave while taking your unpaid FMLA leave entitlement, you have the right to have _____ **sick**, _____ **vacation**, and/or _____ **other leave** run concurrently with your unpaid leave entitlement, provided you meet any applicable requirements of the leave policy. Applicable conditions related to the substitution of paid leave are referenced or set forth below. If you do not meet the requirements for taking paid leave, you remain entitled to take unpaid FMLA leave.

_____ For a copy of conditions applicable to sick/vacation/other leave usage please refer to _____ available at: _____.

_____ Applicable conditions for use of paid leave: _____

Once we obtain the information from you as specified above, we will inform you, within 5 business days, whether your leave will be designated as FMLA leave and count towards your FMLA leave entitlement. If you have any questions, please do not hesitate to contact:

_____ at _____.

PAPERWORK REDUCTION ACT NOTICE AND PUBLIC BURDEN STATEMENT

It is mandatory for employers to provide employees with notice of their eligibility for FMLA protection and their rights and responsibilities. 29 U.S.C. § 2617; 29 C.F.R. § 825.300(b), (c). It is mandatory for employers to retain a copy of this disclosure in their records for three years. 29 U.S.C. § 2616; 29 C.F.R. § 825.500. Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. The Department of Labor estimates that it will take an average of 10 minutes for respondents to complete this collection of information, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding this burden estimate or any other aspect of this collection information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S-3502, 200 Constitution Ave., NW, Washington, DC 20210. **DO NOT SEND THE COMPLETED FORM TO THE WAGE AND HOUR DIVISION.**



Appendix M

County Forms

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SCHOHARIE COUNTY REQUEST FOR PERSONNEL ACTION
FOR VACANT POSITION IN THE BUDGET

Department:

Type of Action Requested: ☐ New Hire ☐ Transfer ☐ Temporary ☐ Reinstatement

Type of Appointment: ☐ Full Time ☐ Part Time with Benefits ☐ Part time without benefits

Position Title: _____ Line Item #: _____ Effective Date: _____

Salary:\$ _____ + _____ (fringe %) = \$ _____ Pay Grade: _____ Step: _____

[NOTE: Salary & step may be higher, depending on if the person who is selected to fill this position is already a County employee who may be entitled to start on the step on the salary schedule with no loss of pay.]

Purpose and justification for requesting appointment:

Consequences if this appointment were rejected or deferred:

Is this a state mandated program? ☐ YES ☐ NO

PROPOSED SOURCE OF FUNDING FOR THIS POSITION:

☐ County ☐ State/Federal Aid

PROJECTED COST FOR NEXT 5 YEARS:

Year	Salary	+	Benefits	-	Aid	Net Cost	Grade/Step
------	--------	---	----------	---	-----	----------	------------

Funding unknown for next _____ years. Will depend on contract negotiations.

*May be higher depending on the step the employee would start at.

Does the office have adequate office space for this employee? ☐ YES ☐ NO

.....

(Department Head Signature)

(Date)

OVERSIGHT COMMITTEE: ☐ Approved ☐ Rejected ☐ Deferred

DATE: _____ SIGNED: _____

PERSONNEL COMMITTEE: ☐ Approved ☐ Rejected ☐ Deferred

DATE: _____ SIGNED: _____

FINANCE COMMITTEE: ☐ Approved ☐ Rejected ☐ Deferred

DATE: _____ SIGNED: _____

CLERK OF THE BOARD: ☐ Approved ☐ Rejected ☐ Deferred

DATE: _____ SIGNED: _____

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MSD 426-A(03/10)	Report all personnel changes on this form REPORT OF PERSONNEL CHANGE AND SUPPLEMENTARY PAYROLL CERTIFICATION		DATE:		
			Month	Day	Year
TO: Department of Personnel and Civil Service PO Box 675, 284 Main Street, Room #310 Schoharie, New York 12157-0675		NAME OF EMPLOYEE			
FROM: <input type="checkbox"/> County <input type="checkbox"/> Town <input type="checkbox"/> Village		ADDRESS			
<input type="checkbox"/> School District <input type="checkbox"/> Special District		PHONE NUMBER			
AGENCY NAME		(Home)		(Other)	
DEPARTMENT		TITLE OF POSITION		SALARY	
NAME AND TITLE OF LAST EMPLOYEE IN POSITION		EMERGENCY CONTACT: Person Phone Number			
<input type="checkbox"/> Veteran <input type="checkbox"/> Disabled Veteran		<input type="checkbox"/> Non-Veteran <input type="checkbox"/> Exempt Volunteer Fireman		SOCIAL SECURITY NUMBER	
	Check Nature of Personnel Change	Date Effective		Action Necessary by Appointing Officer	
APPOINTMENTS	<input type="checkbox"/> Permanent – Competitive Class			Return Certification	
	<input type="checkbox"/> Non-Competitive Class Appointment			Attach County employment application	
	<input type="checkbox"/> Exempt Class Appointment			Attach County employment application	
	<input type="checkbox"/> Labor Class Appointment			Attach County employment application	
	<input type="checkbox"/> For Term of Office	From	To	Give facts under Remarks	
	<input type="checkbox"/> Provisional			Attach County employment application	
	<input type="checkbox"/> Promotion - Competitive			Return Certification	
	<input type="checkbox"/> Promotion - Provisional			Attach nomination	
	<input type="checkbox"/> Temporary (6 Month Max.)	From	To	State length of employment & application	
	<input type="checkbox"/> Substitute	From	To	Give facts under Remarks & application	
	<input type="checkbox"/> End of Probation			Attach signed Probation Report	
TERMINATIONS	<input type="checkbox"/> Resignation			Submit signed resignation	
	<input type="checkbox"/> Retirement			Give effective date	
	<input type="checkbox"/> Removal			Attach copy of proceedings	
	<input type="checkbox"/> Deceased			Indicate date	
	<input type="checkbox"/> Layoff (Lack of Work or Funds)			Give facts under Remarks	
OTHER CHANGES	<input type="checkbox"/> FMLA (12 Weeks Max.)	From	To	Indicate Dates - Give facts under Remarks	
	<input type="checkbox"/> Military Leave	From	To	Indicate Dates - Give facts under Remarks	
	<input type="checkbox"/> Other Leave of Absence (1 yr. Max.)	From	To	Indicate Dates - Give facts under Remarks	
	<input type="checkbox"/> Return from Leave	Date:		Indicate Date	
	<input type="checkbox"/> Suspension			Give facts under Remarks	
	<input type="checkbox"/> Reinstatement (Personnel Approval)			Give Reason Remarks	
	<input type="checkbox"/> Transfer/Reassignment			Give facts under Remarks	
	<input type="checkbox"/> Change in Classification			Give facts under Remarks	
	<input type="checkbox"/> Change in Salary			Indicate new salary	
	<input type="checkbox"/> Change in Name			Show old name under Remarks	
	<input type="checkbox"/> Change in Address			Give old address under Remarks	
	<input type="checkbox"/> Other			Give facts under Remarks	
REMARKS: (Continue on back if necessary)					
Appointing Officer:					
Title:					
Address:					
This certifies that the above employment is in accordance with Law and Rules made in pursuance to Civil Service Law. Subject to any limitation or condition specified above.					
Certificate Valid Until:		(If there is a Valid Until date DO NOT pay after that date)		Date:	
By:				Date:	

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Schoharie County Personnel & Civil Service Department

**Request for Additional Position(s) in an Already Established
Entrance Level Classification**

1. I certify the duties, responsibilities and qualification requirements of the new position(s) listed below conform to the class specification already established by the Civil Service Commission for the requested title and request the classification approval be given in accordance with the established procedure.

Signed: _____ Date: _____

2. Fill in the requested information below:

Number of Positions	Title of Requested New Position(s)	Location (Dept., Div., Unit, etc.)	Duration & Status (Perm, Temp, FT or PT)

3. Action by Personnel Officer

_____ Approved _____ Disapproved

Signed: _____ Date: _____

4. Action by Legislative Body or other Approving Authority

_____ Approved _____ Disapproved

Signed: _____ Date: _____

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**Schoharie County Personnel & Civil Service
Department
New Position Duties Statement**

Appointing Authority requesting the creation of a new position, prepare a separate description for each new position to be created except that one description may cover two or more identical positions in the same organizational unit.

Forward one typed copy to this Commission.

New Position Duties Statement

Forward one typed copy to this Commission.

(Attach additional sheets if more space is needed)

3. Names and Titles of Persons Supervising this position (General, Direct, Administrative, etc.)

<u>Name</u>	<u>Title</u>	<u>Type of Supervision</u>

4. Names and Titles of Persons Supervised by Employee in this position

<u>Name</u>	<u>Title</u>	<u>Type of Supervision</u>
-		

5. Names and Titles of Persons doing substantially the same kind and level of work as will be done by the incumbent of this new position

<u>Name</u>	<u>Title</u>	<u>Location of Position</u>

6. What minimum qualifications do you think should be required for this position?

Education: High School _____
College _____ Years, with specialization in _____
College _____ Years, with specialization in _____

Experience: (list amount and type)

Essential knowledge, skills and abilities:

Type of license or certificate required:

7. The above statements are accurate and complete.

Date:

Title:

Signature:

Certificate of Schoharie County Civil Service Office

8. In accordance with the provisions of Civil Service Law Section 22, the Schoharie County Personnel Officer certifies that the appropriate civil service title for the position described is:

Title: _____

Jurisdictional Classification: _____

Date:

Signature:

Personnel Officer

Action by Personnel and/or Finance Committee (Approve Pay Grades Only)

9. Suggested or Requested Pay Grade for this position:

- ☐ **Approved**
☐ **Disapproved**

Date:

Signature: _____

Personnel or Finance Committee Chairman

DATE: _____

GENERAL INVENTORY CHANGE FORM

NOTE: THIS FORM MUST BE COMPLETED AND GIVEN TO THE AUDITORS OFFICE WHENEVER AN ITEM (ANY NON-DISPOSABLE ASSET) IS BOUGHT, SOLD, TRADED, JUNKED, OR TRANSFERRED. PLEASE MARK WHETHER THIS IS A CHANGE TO AN ITEM CURRENTLY ON THE INVENTORY LIST OR A NEW ITEM.

_____ NEW ITEM _____ CHANGE TO AN EXISTING ITEM

COUNTY TAG# _____

DISPOSITION: _____

A - ACTIVE C - CHANGE LOCATION J - UNUSEABLE S - SOLD T - TRADED
O - DEPT. CHANGE X - MARKED FOR DISPOSAL R - RETURNED TO VENDOR
D - SET ASIDE FOR AUCTION/SALE

PURCHASE DATE IF NEW OR EFFECTIVE DATE IF OTHER: _____

PURCHASE ORDER NUMBER: _____

DEPARTMENT: _____

LOCATION: _____

DESCRIPTION: _____

MANUFACTURING: _____

MODEL: _____

SERIAL #: _____

ORIGINAL COST: _____

CLASS _____

1 - MISC. EQUIP 2 - VEHICLE 3 - MACHINE 4 - RADIO 5 - BUILDINGS
6 - LAND 7 - COMPUTER & COMPUTER EQUIP. 8 - OFFICE EQUIPMENT
9 - OFFICE FURNITURE 10 - WEAPON

COMMENTS:

DEPARTMENT HEAD SIGNATURE _____

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SCHOHARIE COUNTY TRAVEL/CONFERENCE AUTHORIZATION FORM

TO: SCHOHARIE COUNTY PURCHASING AGENT

This is to confirm that _____ an employee of
(Name of Attendee)

the Schoharie County _____ Department, attended

the _____
(Name of Conference or Training)

provided by your organization on _____
(Date)

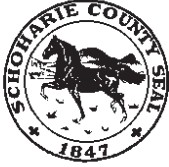
(Signature)

(Title)

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SCHOHARIE COUNTY TRAVEL FORM (Request, Authorize and Report)

Name _____ Title _____ Department _____

Destination _____ Departure Date _____ Return Date _____

Description of Trip

Justification (Reason for Attending):

	Estimates:	Actual
Mileage	\$ _____	\$ _____
Train/Plane/Cab/Bus Fare	\$ _____	\$ _____
Gas	\$ _____	\$ _____
Tolls	\$ _____	\$ _____
Meals	\$ _____	\$ _____
Registration	\$ _____	\$ _____
Lodging	\$ _____	\$ _____
Other	\$ _____	\$ _____
Total	\$ _____	\$ _____

(Identify and justify any amounts above per diem)

Emergency? _____ Yes _____ No

Source of Funding?

_____ Operating Budget - County

_____ Grant

_____ State

_____ Federal

_____ Other - Identify: _____

Is the purpose of the travel mandatory for the
position title: _____

Appropriation Number _____

Will compensatory or overtime be required? _____ Yes _____ No Number of hours _____

OTHER REIMBURSEABLE EXPENSES

Purpose _____ Cost _____

APPROVALS

Dept. Head _____ Date _____

Board of Supervisors/Chairman

(Out-of-State Travel Only) _____ Date _____

Return to Auditors Office with Travel Expense Vouchers for Payment

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SCHOHARIE COUNTY INCIDENT REPORT

Name of Employee _____ Dept. _____

Position _____ Supervisor _____

Person/Contact Information of who reported the incident

☐ PERSONNEL COMPLAINT ☐ ACCIDENT ☐ OTHER _____

FACTS ABOUT THE INCIDENT

Location where incident occurred: _____

Date of incident: _____ Time of incident: _____

Date incident was reported: _____

To who was it reported: _____ Title/Dept.: _____

Witness(es): _____ Witness Contact Information: _____

If more than one witness, put information on another sheet

Describe the incident in specific detail (including words said, gestures made, if and where physical contact occurred, any other physical actions, object or weapons used). **Include additional sheets if necessary:**

SCHOHARIE COUNTY INCIDENT REPORT

Has the person in question been involved in any other incident? ☐ Yes ☐ No ☒ Not Sure

If yes, was it reported? ☐ Yes ☐ No

Reported to: _____ Date: _____

Comments:

Complaint Given To: _____ Date: _____

ACTION TAKEN: ☐ FOUNDED ☐ UNFOUNDED
☐ OTHER _____

Schoharie County Purchase Form

This form is to be used for all purchases of \$250 except those dealing with licensed professionals or emergency services.

Nature of emergency must be documented on this form.

DESCRIBE GOODS OR SERVICES TO BE PURCHASED:
<div>Vendor #1</div> <div>Contacted by: Phone _____ Person _____ Other _____</div> <div>PRICE: _____</div> <div>Comments:</div>
<div>Vendor #2</div> <div>Contacted by: Phone _____ Person _____ Other _____</div> <div>PRICE: _____</div> <div>Comments:</div>
<div>Vendor #3</div> <div>Contacted by: Phone _____ Person _____ Other _____</div> <div>PRICE: _____</div> <div>Comments:</div>
Check Vendor Selected. Of not the lowest, Explain:

Submit with Purchase Order Form

Date: _____

Signature of Solicitor: _____

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RESOLUTION NO. 79

TITLE: AMENDING SCHOHARIE COUNTY POLICY AND PROCEDURES MANUAL

OFFERED BY: William C. Federice Who moved its adoption.
SECONDED BY: James Buzon Member Rules & Legislation Committee

RESOLVED, that this Resolution shall serve to amend the entire Schoharie County Policies and Procedures Manual, including all appendices, effective this date, with full copy of said amended manual now on file with the Clerk of the Board.

Dated: August 20, 2015
Filed: August 20, 2015

Sheryl Largetean
Clerk Board of Supervisors

APPROVED AS TO FORM AND LEGALITY.

Michael Bo
County Attorney

STATE OF NEW YORK
COUNTY OF SCHOHARIE ss:

I, the undersigned, Clerk of the Board of Supervisors of the County of Schoharie, New York, DO HEREBY CERTIFY that I have compared the above copy of a resolution with the original resolution adopted by the Board of Supervisors of said County on the 21 day of August, 2015, at a regular meeting of said Board and said copy is a true copy of said resolution and of the whole thereof.

I, FURTHER CERTIFY, that at the time said resolution was adopted said Board was comprised of 16 members, with total weighted vote of 2974 and votes were cast as follows: Yes 2570, No, 127, Skowfoe, Absent 277, Bleau, VanGlad

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the corporate seal of said Board this 21 day of August, 2015.

Sheryl Largetean Clerk,
Board of Supervisors of the County of Schoharie